Erin E. Ryan. Self-published books: Will they be preserved, or lost to the mists of time? A Master's Paper for the M.S. in L.S degree. May, 2017. 95 pages. Advisor: Paul Jones

This exploratory study describes the results of a survey of 39 self-published writers who were contacted through several North-Carolina-based writers' groups. The survey was intended to determine background about the platforms and formats they used as well as the importance these writers placed on the preservation of their work, asking whether they had lost files or had tried to get their work into libraries. Follow-up interviews with four writers who took the survey feature their reflections on being an "indie author," including their methods for finding an audience, how they learn information about self-publishing, and the challenges and benefits they have experienced from the process.

The study begins with a literature review that includes interviews with two librarians and a small publisher in North Carolina. The study concludes with a number of implications for further research, as well as a discussion of the major finding that publicity equals preservation.

Headings:

Self-publishing – History

Surveys – Self-publishing

Publishers & publishing

Libraries – Self-publishing

Copyright & digital preservation

Authors – Digital preservation

SELF-PUBLISHED BOOKS: WILL THEY BE PRESERVED, OR LOST TO THE MISTS OF TIME?

by
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of the School of Information and Library Science
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Approved by

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Paul Jones

Table of contents

I. Introduction

I have, on a shelf by my bed, eight books that were written and self-published by people I know. Most of them I have read. Some of them I haven't quite gotten to yet. I have found them to be rather good. Also on that books-by-people-I-know shelf are two books of fiction I wrote and self-published over the last six years.

Most of these books, including one of mine, were published through Amazon.com's CreateSpace platform for print-on-demand titles. Some also exist as ebook versions through Amazon's KDP (Kindle Direct Publishing). Our interior files reside online with Amazon.com, and on our own computers. The small press that helped me self-publish my first book in 2011 is now, sadly, out of business.

Before I began this program in library science/archives and records management in 2015, I gave little thought to the idea of these books' long-term preservation. I was more interested in the self-publishing success stories, like Hugh Howey's *Wool*, Andy Weir's *The Martian*, and E.L. James' *50 Shades of Grey*—all fairly recent bestsellers that have been optioned as films— and I hoped for that same success.

We all hope that our books will remain popular forever. But not all self-published writers will see their work made into movies or get picked up by a major distributor. Now that I've studied the archival field and digital preservation, I've begun to wonder more about the life cycle of a self-published book, and what can be done to make sure it is still preserved years into the future.

Of course, this question is the same for *any* book, whether it's produced by a small press or brought out by one of the Big Five Publishers.[1] But I believe that self-published books face some unique challenges due to the fact that authors who are also their own publishers take on so many tasks that, traditionally, a whole group of people would have handled. Not only are most self-publishers doing the task of writing, publishing, distribution, publicity, sales—but they are also responsible for the preservation of their files and for depositing their books in accordance with the regulations of their national deposit libraries. Many self-published authors are going it alone as they try to navigate where to get information about their profession; for example, it would seem that there remains a lot of uncertainty about the notion of "deposit" among self-published writers (Kboards Forum Discussion, 2014).

And the preservation of self-published books is an especially important question now, because self-publishing is on the rise. Self-publishing is not new, of course. It has been around ever since people were first able to disseminate their writing to a wider audience—but it is easier to do today than it has ever been before. Print-on-demand and ebook production are available to anyone who has a computer, word processing software, and an Internet connection. Self-publishing used to have stigma attached to it—and that has not completely gone away—but it has become more acceptable in recent years. Self-publishing has been adopted by mainstream, traditionally published writers. Self-published work is being reviewed more widely in trade publications. Established publishers are creating their own self-publishing divisions. Self-published books get onto bestseller lists. Although the Big Five still dominate, self-publishing is taking increasingly more of the publishing market than it had in previous years, particularly among the ebook segment.

I think again of those books on my shelf, or of the multitudes of self-published post-apocalyptic sci-fi ebooks I have downloaded onto my Kindle to while away a free couple of hours. Some of these ebooks were great. (One of the free promos I downloaded in 2014, "The Girl with All the Gifts," by M.R. Carey, was made into a 2016 movie starring Gemma Arterton, Paddy Considine, Glenn Close, and Sennia Nanua.) Some were filled with typos and rushed, derivative storylines. I deleted many of them after reading. But even if these weren't all blockbusters, in the aggregate, they are part of our country's literary and cultural story. Someday, someone might want to research why, at this point in the early 21st century, post-apocalyptic dystopian fiction is so popular (Murray, et al., 2016). What does that say about our fears and preoccupations? It would be a shame if these books disappeared because there is no one to exercise stewardship over them and make them accessible.

II. Research Questions

I approached my questions both as a writer and as a beginning archivist.

1. How are books preserved when they are not published by traditional means?

2. How are preservation challenges the same as—and different from—those of traditionally published books?

3. What methods and practices do authors who self-publish use to archive their own work?

4. Do local libraries or other repositories have an interest in collecting self-published work?

III. Definitions

Self-publishing

What I mean by the term "self-publishing" in this paper is that the author is the one who "selects the material to be published, makes the decisions, and pays the bills" (Bradley, et al., 2011). It could also be said that self-publishing is publishing without mediation; Oscar Wilde once quipped that "the publisher is simply a useful middleman" (Bhaskar, 2013).

But this leads to another question: "Now that anyone can publish, or be a publisher, what does it really mean to publish?" (Bhaskar, 2013). Is it anything more than "making something public"?

Bhaskar (2013), dealing primarily with book publishing, lays out a "theory of publishing" based on four concepts: "framing and models, filtering and amplification." In this model, publishing entails packaging "content" (writing) for distribution and presenting it "to an audience—according to a model." Material is selected, or "filtered," in order to "amplify" it for public consumption. "Publishing is about scaling up from creating a single instance to multiple copies" (Bhaskar, 2013).

Self-publishers still "publish" according to Bhaskar's theoretical construct: "Even self-publishers filter; after all, they pick work to publish, namely their own. … If there were no filtering process we would simply be dealing with the medium itself, rather than the publishers working within that medium."

Books

I chose to focus primarily on self-published books in this paper, though, of course, there are many forms of self-published work that need preservation attention, such as academic papers and dissertations, short stories, blog posts, and more.[2] In my survey, I did

not define the length of "books" and left it up to survey respondents to decide whether or not their work qualified as a "book." Because of its focus on books and on participants who (presumably) are not writing within academic institutions, this paper does not really discuss open-access repositories for academic works as a possible way for self-published works to be preserved.

Geographical and language limitations

This paper treats the history of self-publishing in English, primarily in the United States but also in Western Europe as it has informed U.S. practices. It would be fascinating to trace how self-publishing has grown in other countries, as well (printing existed in Asia for centuries before Gutenberg ever came along[3]), but that would be beyond the focus of this study.

IV. Literature Review

Along with using published journal articles and books in this literature review, I also included information from newspapers, trade magazines, blogs, and self-published-writer forums. Publishing figures change rapidly, driven by innovations in technology, methods of promotion, and reader tastes. I tried to capture the most up-to-date reflection of the self-publishing world as I could.

The literature review is divided into five sections: history of self-publishing, official libraries of deposit, other libraries collecting self-published books, publishers' archives, and preservation of personal information.

History of self-publishing

The definition of a "publisher" has not always focused on corporations that choose authors, set prices, and commission work on particular topics, as we think of the job today. In the earliest years of printing, in the 15th century, printers, not publishers, were "the central figure of the early book-trade" (Steinberg & Moran, 1974). Printers did everything we now associate with publishers: chose manuscripts to print, edited them or engaged editors, sold them, and organized distribution. Later, publishers took on those tasks, becoming "the life-force of the book-trade. … The printer, in fact, has, in the public eye, become a mere appendage of the publisher" (Steinberg & Moran, 1974). Steinberg and Moran note that the first two "publishing companies in which authors or editors, business men and printers" put together "their knowledge, money, and practical experience" were in Milan in 1472[4] and Perugia in 1475, while "the first man to make publishing (and bookselling) his exclusive occupation seems to have been Johann Rynmann who died at Augsburg in 1522; 200 books appeared under his imprint but he did not print any of them" (1974).

Darnton (1982), whose focus is on the 18th-century book trade, discusses six distinctive places on the circulation cycle in the early days of the book: authors, publishers, printers, shippers, booksellers, and readers. (Today, in many cases, the equation is not so simple. Authors become publishers. Amazon.com becomes printer, shipper, *and* bookseller. The categories get smashed together.)

In earlier years, self-publishers tended to be authors who created their own presses—like Virginia Woolf (1882-1942), who started Hogarth Press in 1917 with her husband Leonard; or Mark Twain (1835-1910), who founded a publishing house with his nephew Charles Webster.[5] Others teamed up with printers with whom they made financial arrangements to produce their work. William Blake (1757-1827) brought out his hand-

lettered, illustrated books on an etching press. Walt Whitman (1819-1892) took out copyright on *Leaves of Grass* in 1855 and paid to have the first edition printed by a local printer. Beatrix Potter (1866-1943) brought out *The Tale of Peter Rabbit* at her own expense in 1901 (Drabble, 1985).

Of course, many self-publishers today continue to found their own imprints in order to produce books under their name. Others contract with printers to bring out their books, or print books themselves in small quantities on a letterpress. But more and cheaper options are available for those who want to turn to print-on-demand or ebook technologies.

During the 20th century, traditional publishing houses continued to dominate the book publishing industry. During the early and middle 20th century, self-publishing in North America "evolved into a formal industry … with the growth of book subsidy (or vanity) publishers such as Dorrance Publishing (Pittsburgh, PA), founded in 1920, and Vantage Press (New York), founded in 1949. They typically used offset printing and charged an author between $8,000 and $50,000 for a limited quantity of copies, some owned by the author and the rest warehoused by the publisher" (Dilevko & Dali, 2006). By the 1980s, many people turned to desktop publishing as well, printing copies of their books and having them bound at Kinko's, for example. Subsidy publishers could produce much more professional-looking works than the desktop publishers (Savage 2008). However, by then so-called "vanity" publishing was looked down upon as a process of "you pay your money and we publish your monograph" (Savage 2008). In some circles, publishing a dissertation, for example, without going through "proper" channels such as a university press could result in irreparable damage to one's reputation (Savage, 2008).

In the late 20th century, publishing houses increasingly consolidated into large corporations that were, in turn, "answerable to shareholders" and "expected to show profits

on each book they published" (Dilevko & Dali, 2006). They were less likely to take a chance on anything that was outside of mainstream tastes. "It was in this context that a new generation of self-publishers such as AuthorHouse, iUniverse, and Xlibris developed in the middle and late 1990s. Often referred to as author services publishers and employing print-on-demand (POD) technology, they marketed themselves to the growing number of disaffected authors who had been frustrated by repeated rejections from corporate and independent publishers" (Dilevko & Dali, 2006).

Former journalist and trade journal publisher Ann Kritzinger founded one such book production company in London 1985 to help the growing number of self-published authors with layout, cover design, editing, and other aspects of making the work look more professional. She self-published "A Brief Guide to Self-Publishing" in 1991. In a 1993 article, Kritzinger singled out author Dan Poynter as "the U.S. guru of modern self-publishing." Poynter, who died in 2015 at age 77, was "well known in the book business for his 1979 work *The Self-Publishing Manual* [and] was one the earliest advocates of quality self-publishing. He produced scores of books, seminars, reports, and articles on the subject long before digital technology transformed it into an easy-to-adopt option for authors" (Reid, 2015).

By 1993, Poynter had built "a multi-million-dollar direct mail business," though "most self-publishers—authors who publish and sell their own books" were "one- or two-title enterprises" (Kritzinger 1993).

In her 1993 article, Kritzinger envisioned the future of self-publishing, and she got some things right. She predicted "networking," or "the ability to share work computer to computer without printing it." She also predicted: "Authors will communicate with readers, by-passing publisher, bookseller and librarian." (Other predictions haven't quite panned out.

She imagined that " 'Virtual reality' will enable users to participate within the 'pages' of a book via a future TV set," and that "books will be bought on minidisks from dispensers like chocolate bars, to slot into hardback-sized electronic reading devices capable of printing out the whole or parts at will.")

Many different services rose to prominence in the early 21st century as self-publishing increased in the digital age. One of these was Lulu. In a 2016 interview, Nigel Lee, Lulu's CEO, said the company was "first to market allowing authors to engage directly and simply with just a web browser" (Glenn@Lulu, 2016).[6]

In 2008, a time when Lulu accounted for the most self-published titles in their study, Bradley, Fulton, and Helm (2012) studied the output of 93 fee-based publication services (such as Lulu and Authorhouse), looking at a random sample of 348 books from a total of 385,173 available from these services in 2008. They found 78 titles "with a publisher's imprint that differed from the name of the publishing service from which we had selected the title," including 67 books produced through Lulu's "Publish by You" feature, which allowed them to choose their own publishing name. The imprints produced under this name included corporate-sounding names (such as "Newman Press" or "Flung Publishing") as well as others that listed the author's name as the publisher. They also found that seven of the books in their sample were reprints of books that had fallen out of print from a mainstream publisher.

According to Bowker statistics for the year 2010, "the output of non-traditional titles was eight times as great as the number of mainstream published books" (Bradley et. al, 2011). And according to Amazon.com figures for 2012, one-quarter of the top-selling books on the site were self-published (Kaufman, 2013). At that time, Amazon—with its

CreateSpace and KDP options—was already becoming the most popularly used self-publishing platform.

CreateSpace developed out of two existing services that were acquired by Amazon in 2005: Customflix and BookSurge. "CustomFlix launched in … to make widespread distribution easier for independent filmmakers" and "BookSurge was launched in 2000 by a small group of writers who wanted to create opportunities for authors to not only publish their work, but to also retain their content rights and sales profits." Both eventually were merged under the CreateSpace name in 2009 (CreateSpace website, "About Us").

Today, authors can also choose to distribute self-published books on Apple's iBooks Store. They can self-publish ebooks for free on Smashwords, which bills itself as "the world's largest distributor of indie ebooks" (Smashwords website). Both Barnes and Noble's Nook and the Kobo ereader offer self-publishing options. Another frequently mentioned option is IngramSpark, the self-publishing option for print and ebooks that is part of Ingram Content Group (which also runs Lightning Source, an on-demand print service that is used by a variety of publishers). IngramSpark offers wide distribution: it "is connected to the ordering systems of 39,000 independent and chain bookstores, libraries, and online retailers worldwide, plus every major e-book retailer (including iBookstore, Kobo, Amazon Kindle, Barnes & Noble Nook, etc.)" (IngramSpark website).

Self-published authors get more profits—for example, they can reach 70% rather than the 7-12% (print) or 25% (digital) in royalties than they might get from a traditional publishing contract (Kaufman, 2013).[7] One example of someone who has taken advantage of these profits is Hugh Howey, whose science-fiction novel *Wool* began as a self-published Kindle short story. He went from working at a university bookstore for $10/hour to making six figures a month from his writing (Howey, 2014; Kelley, 2013). Simon & Schuster made a

deal with him to publish the book in print, but he kept all his rights to the ebook. In a 2013 *Salon* article, Howey relates how he started a thread on Kindle Boards to find out how many self-published writers were earning $100-$500 a month from their writing. "Every response I received started with a variation of: 'I'm actually making a lot more than that.' … "People I interacted with every day were appearing on bestseller lists or emailing me for advice on handling calls from agents."

In discussing why Pulitzer Prize-winning playwright David Mamet chose to self-publish, Kaufman (2013) notes that some traditional publishing houses have opened self-publishing divisions of their own. Welly (2011) concentrated on Amazon's push toward becoming a formal publishing company. The company demonstrated this print focus by hiring New York editor and agent Laurence Kirshbaum as head of Amazon Publishing in 2011. Kirshbaum left in 2013, but Amazon Publishing continues to operate many imprints alongside its self-publishing outlets (McKenzie, 2016).

Charman-Anderson (2012) notes in *Forbes.com* that during the week of Dec. 6, 2012, *The New York Times*, which long eschewed reviewing self-published books, published "a long and enthusiastic review" of a self-published book, blogger Alan Sepinwall's *The Revolution Was Televised*. Reviews of the book were also published in *TIME* and the *New Yorker*. The article points out that Sepinwall (a reviewer himself) had media connections, which might have been a factor in his book being chosen for coverage; but that the fact of the reviews "illustrates that the idea of a division between 'traditionally published' and 'self-published' is becoming a ridiculous construct with no meaning whatsoever" (Charman-Anderson, 2012). Charman-Anderson goes on to say that she thinks traditionally published and self-published books probably have about the same level of quality, but that traditionally published books have the advantage of a "third party" to act as a mediator—someone who could make

relationships with various reviewers and send them the kinds of books that the reviewer would be likely regard favorably. This lack of a third-party mediator can be problematic for self-published authors, because reviewers don't always want to deal directly with authors; it is more uncomfortable, and the lack of remove can make it harder for someone to do an objective review (Charman-Anderson, 2012). This article also shows how self-publishing long was viewed as "lesser" or with a bit of disdain by those within traditional publishing, partly because the books did not go through the "gauntlet" of appraisal and weeding that traditional publishers exercise (Charman-Anderson, 2012).

According to data from Nielsen, a book-sales tracking service operating in ten countries, self-published books in general grew "from 14% to 18% of the overall market" between the first financial quarters of 2014 and 2015. (This same report states that the share of the "Big Five" publishers grew even more.) "Meanwhile, the rest of the market—all the large, medium, and tiny publishers—have seen their share decrease from 58% to 45%" (Wikert, 2015). "The print/ebook split is now roughly 74%/26%" as an industry average, though "that ratio varies widely by genre" (Wikert, 2015).[8]

In recent years, Howey (along with an anonymous number-cruncher who goes by Data Guy) has been behind the "Author earnings report," a quarterly compilation of statistics on the sales of self-published books, especially those from Amazon.com. The "report" has been cited in the *Publishers' Weekly* blog. The latest report, from February 2017, said that "self-published indie authors are verifiably capturing at least 24%-34% of all ebook sales in each of the five English-language markets[9] … When you also include the uncategorized authors, the vast majority of whom are also self-published, the true indie share in each market lies somewhere between 30%-40%" (Howey & Data Guy, 2017).

Today, though self-publishing is becoming more accepted, there often remains tension between traditionally published authors, who have had their work judged and accepted by editors, and self-published authors, who may not have gone through this gatekeeping process. Howey, on the other hand, says "there's a problem with comparing average self-published sales with traditionally published books. In self-publishing, the slush pile is made available to readers. These comparisons between the two paths take the tip of one iceberg (the books that made it through the gauntlet and into bookstores) with an entire iceberg (all self-published books)" (Howey, 2013).

Official libraries of deposit

The question of "what does it mean to publish?" becomes more than theoretical when we approach deposit law. The U.S. Copyright Office "FAQ-Definitions" page says that "Publication is the distribution of copies or phonorecords of a work to the public by sale or other transfer of ownership, or by rental, lease, or lending. Generally, publication occurs on the date on which copies of the work are first distributed to the public."

According to recent research, of the 245 state and libraries around the world, "62 have legal deposit legislation or participate in legal deposit activities," and in addition to these state and national libraries, university or public libraries can also serve the function of being legal deposit sites (DeBeer et al., 2016). The British Library's website sums up the basic reason for national deposit legislation: the system of deposit "helps to ensure that the nation's published output (and thereby its intellectual record and future published heritage) is collected systematically, to preserve the material for the use of future generations."

The beginnings of a system of legal deposit in Europe are generally traced to the "Ordonnance de Montpellier," a decree issued by King Francois I of France in 1537. The

king's decree required anyone issuing a new book in his realm to deposit a copy in his castle's library (or the Bibliotheque du Roi) before the book could be sold. The aim of this decree was for the king to collect all the books "which deserved to be seen" in their original form, before they had been modified (Larivière, J., Lunn, J., & UNESCO, 2000).

Great Britain's Copyright Act, known as the Statute of Anne, was introduced in 1709 to give printers and publishers legal protection against piracy of their work. Under this law, "deposit became a formality for obtaining the legal protection of copyright" (Larivière, J., Lunn, J., & UNESCO, 2000). Publishers were required to send their work to the Bodleian Library in Oxford as well as a number of other libraries in England and Scotland.

In the United States, President Ulysses S. Grant "signed the law centralizing the copyright registration and deposit system in the Library on July 8, 1870" (Library of Congress, 2005). The last major overhaul of United States copyright law was in 1976 and went into effect in 1978. Though there have been small revisions since then, the 1976 law remains the one that is followed today.

In Europe, the Berne Convention of 1886 established the idea that copyright should exist from the moment of the creation of a work and that one could not be forced to register a book for copyright in order to have protection from piracy. This meant that Britain, as well as many other countries, had to establish separate legislation for deposit provisions that was not tied to copyright law (Larivière, J., Lunn, J., & UNESCO, 2000). The United States did not join the Berne convention until 1988; legislation took effect in 1989 (Ginsburg & Kernochan, 1988).

While all U.S. creative works are under de facto copyright from the moment they are fixed in tangible form, the current law still retains some protections that only apply to those who register their copyright with the Copyright Office (for example, those who register are

eligible to receive more money for damages in a lawsuit against someone who profited off of their work without permission). The current U.S. Copyright Act does, however, have "two separate sets of deposit requirements: deposits submitted in connection with registration applications and those submitted in accordance with the mandatory deposit provisions … of the law. The U.S. Copyright Office administers both sets of provisions" (U.S. Copyright Office, 2014).

"Mandatory deposit is a statutory requirement for the benefit of the national collection of the Library of Congress." "Section 407 of the Copyright Act provides that the owner of copyright or the owner of the exclusive right of publication in a work published in the United States must deposit two copies or phonorecords of the work within three months after publication" (U.S. Copyright Office, 2014).

To sum up:

- The current law on mandatory deposit says that registering for copyright and mandatory deposit are two separate processes.
- Copyright registration is not required by law, but mandatory deposit is.
- Authors who *do* register for copyright, which costs $35-$55, can take care of the deposit requirement at the same time as the registration, and must pay to mail two copies of the books to the Library of Congress.[10]
- The books must be deposited within three months of their publication.
- At this time the mandatory deposit requirement only applies to print copies, not ebooks, unless a deposit demand is issued for an ebook. However, authors can deposit ebooks if they wish to do so. (See Circular 7D from the U.S. Copyright Office, 2015.)

- Even if authors do not submit their work for deposit, nothing will happen unless the Register of Copyrights sends a notice demanding that certain titles be sent to them. If the author complies with this request, there will be no fine.
- If authors do not deposit a work within three months after they receive this demand notice, they could be liable to a fine of "not more than $250 for each work"; and may be required to pay the Library of Congress the retail cost of the copies (U.S. Copyright Office, 2014).
- If "a person willfully or repeatedly fails or refuses to comply with such a demand," they could then be required to pay an additional fee of $2500.
- However, the Library may decide that certain works are exempt from the deposit requirement or come up with "alternative forms of deposit aimed at providing a satisfactory archival record of a work without imposing practical or financial hardships on the depositor" (U.S. Copyright Office, 2014).

It is unclear whether depositing work in the Library of Congress actually means the work will be preserved in the Library's storage facilities for perpetuity. The "Deposit" regulations from the Library of Congress say:

> Unpublished and published deposit materials that are submitted to the Office in a hard copy format are stored in offsite storage facilities, unless the deposit copy(ies) are selected by the Library of Congress for its collections. ... Published deposit materials are currently stored for twenty years. If the Office closes a file for a published work without issuing a registration or refuses to register a published work, the deposit materials may be offered to the Library for disposition and may or may not be selected for the Library's collections. … Full-term retention of published deposit copy(ies) may be requested in certain circumstances. This option offers copyright owners the opportunity to ensure that copies or phonorecords of their works will remain in the custody of the U.S. Copyright Office for seventy-five years from the date of first publication. (U.S. Copyright Office, 2014)

(See Appendix A for more discussion of deposit materials being chosen for the

Library of Congress collection, as well as how this process relates to the cataloging of materials and Library of Congress Control Numbers.)

It would appear that many self-publishers are unaware of mandatory deposit legislation. Here are a few reactions to the topic on a self-published writers' discussion board in 2014 from authors in the United States and the United Kingdom (which requires deposit to the British Library and five other official deposit libraries, if these five are requested):

> Does anyone have any knowledge or experience of ["deposit"] please? I've only just heard this term (which is worrying) so have been frantically googling to research it to see if I need to take any action.
>
> [In response to previous poster] Personally, I have no idea what you're talking about. Might help if you clarify what it is that you think you might have to deposit, and why.
>
> When I asked if I could send the books via Amazon the London office took pity on my poverty and offered that I could send digital only and avoid print, but I declined as I want my books available at Trinity College Dublin. … I suspect that eventually print submission will end as the cost of storing it is astronomical. (KBoards Forum, October 2014)

Publishing companies have procedures in place for registering their books for copyright and sending them for deposit to the Library of Congress. However, when it comes to individuals who publish, the Library cannot possibly track down every work produced or communicate directly with every individual who publishes a book or two. This means that a lot of work does not get collected.

Another question—aside from the consideration of whether print books get deposited at all—asks how equipped the Library of Congress is to deal with the deposit and storage of electronic publications. Artiles, et al. (2013), in their study on this question, concluded that while "the Library and the Copyright Office have created and implemented substantial initiatives to address these issues," they do not appear to have "the funding, equipment, and staff necessary to handle copyright requests for hundreds of thousands of e-

books" or to "store securely millions of digital e-books in a computer format (i.e., in an accessible code) for 'the life of the Republic.' "

The Librarian of Congress in 2012, Dr. James H. Billington, said in February of that year that their funding request for fiscal year 2013 was less a request for more money than simply a plea for the government not to "cut into the bone" of the Library's basic services (Artiles, et al., 2013). "We are seeking funding just to maintain current core services," Billington said. He said that the "Copyright Office made significant cutbacks in its information technology budget," possibly setting up a backlog in processing copyright requests. Artlies, et al. (2013) conclude, "In order to remain America's primary repository of knowledge, the Library of Congress must receive a substantial increase in its future budget appropriations to maintain existing operations and services and to prepare for a digital future." They also note problems with the compatibility of different formats of ebooks, and whether these formats will be readable by users in the future.

In his article "The new missing books" (2012), Peter Brantley writes,

> If we are to avoid … serious gaps in preserving our culture, it will be necessary for the Library to create new and direct relationships with retailing outlets for independent authors and self-published literature. Amazon, Apple, Kobo, Barnes & Noble, Smashwords, and many others will have to demonstrate willingness to actively support the deposit of works in a timely and efficient manner, and to assist in the policy discussions necessary to ensure that this huge upsurge of literature is not lost.

Other libraries collecting self-published books

Another possibility for authors who want to make sure their book gets a home may be to put it in a local library. Though it has become much more common in recent years for libraries to acquire self-published work, there are still challenges for libraries that might wish do this, such as the importance of writing inclusion policies and having standards for vetting work.

In a study conducted in 2005, Dilevko & Dali (2006) examined the extent to which North American OCLC-member libraries collected self-published books. "In public and academic libraries," they wrote, "there has been, for the most part, an awkward silence about how to deal with books from self-publishers, mainly because of the lack of reviews of self-published books in mainstream reviewing outlets." In these years before Amazon dominated the self-publishing field, Dilevko & Dali (2006) revealed in their study that a representative sample of academic and public North American OCLC-member libraries they searched in 2005 "held 14,061 titles that were published in 2000-2004 by … seven self-publishers." (OCLC identified 14,042 of these titles, 99.99%, as "books.") The top three represented self-publishers were AuthorHouse (5223 or 37.1% of all titles held), Xlibris (3351 or 23.8%), and iUniverse (2945 or 20.9%); the others were PublishAmerica (1250) and three subsidy publishers—Dorrance, Ivy House, and Vantage Press. Nearly half (42.8%) of these titles were only held by one of the sample libraries. In all, 93.4% of the self-published titles in the study were held by fewer than 10 of the sample libraries. The most-held category of books according to this study was "handbooks, manuals, guidebooks, and self-help titles." "Popular works—defined as nonfiction monographs written on subjects such as history, medicine, technology, and science for nonspecialist readers—was the second most popular category (23.4%), followed by fiction (21.7%) and biography or autobiography (18.3%)."

Today, what sorts of self-published titles do libraries collect, and what are some of the considerations they must approach in doing so?

Burns (2016), in his short article from *Public Libraries Online*, a publication of the Public Libraries Association, discusses the importance of writing inclusion policies and having standards for vetting work if a library decides to consider self-published books. Glantz (2013) focuses specifically on self-published titles and school libraries, and how

librarians can ensure these titles meet their standards of quality. He also discussed some outlets that in 2013 did or did not review self-published books: *The Horn Book Magazine* and *The Horn Book Guide* did not consider books "produced by publishers that are not listed in Literary Market Place," *Kirkus Indie* reviewed self-published books for a fee and gave authors the possibility of having the review on the *Kirkus Indie* website, *Library Media Connection* accepted self-published print books "for review consideration," *Publishers Weekly* listed self-published titles in their six-issues-per-year supplement *PW Select*, for a fee; those titles were then eligible to be reviewed and selected by *PW* editors. *School Library Journal* did not review self-published books. Glantz said then, "Aside from the print review journals, many blogs and websites are reviewing self-published titles. Often, however, the problem is finding more than one review of a particular title" (2013).

Landgraf (2015), in "Solving the self-published puzzle: As self-published books gain legitimacy, libraries develop ways to include local work in collections," reviewed how a "growing number" of libraries around North America were approaching the acquisition of self-published works from their regions, "either in dedicated collections or as part of their regular holdings. These libraries recognize that many self-published works offer unique value and a way to provide service tailored to their community." Some of these projects:

- Kathryn McClurg, collections librarian at Toronto Public Library (TPL), said: "People in Toronto are interested in reading books about Toronto, so we're interested in buying local books" (Landgraf, 2015). McClurg also said the library had "acquired some self-published gems on topics with strong local interest that haven't been addressed by major publishers." These books included one "on Canadian pensions, an important and complex subject, as well as one on growing fruit trees in Toronto, written by a local orchard owner" (Landgraf, 2015). According to the 2015

article, McGlurg said that the Toronto Public Library was receiving about 300 requests per year from self-published authors for the library to consider their books. (The library added about half of that number.)

- Multnomah County Library (MCL) in Portland, Oregon, began a project in September 2015 called the Library Writers Project. Through December 31, 2015, the library accepted "submissions from local self-published authors to be considered for inclusion in the library's collection." Submitted works had to be ebooks available through the Smashwords platform. They were doing this after "hearing about a project Seattle Public Library did with the Smashwords platform" the previous fall (Landgraf, 2015). "We have a big community of writers in Portland who are trying to get their work into our collection, so we wanted to have a formal avenue for them to do that," said Kady Ferris, electronic content librarian at MCL. Smashwords had "a partnership with OverDrive, the library's ebook vendor," which made purchasing the self-published writers' ebooks on Smashwords easy. For the first year of the project, the library decided to concentrate on adult fiction, as that was, according to Ferris, the "biggest category of circulation for our ebook collection" (Landgraf, 2015). Landgraf added that "Poetry is a possibility for future inclusion, but the library decided that nonfiction would be too difficult to fact-check."

Lambert (2015) talks about challenges librarians face regarding the cost and preservation of ebooks: "Many libraries don't have their own system in place for storing and lending e-books, but rather have to depend on subscription services." Lambert discusses some solutions librarians might employ, including how authors can use Amazon to sell their books directly to libraries for a lower cost than libraries would pay if buying them from a

traditional publisher. "*Library Journal* has come up with a great program: SELF-e, which vets self-published works and makes them available to libraries" (Lambert, 2015).

CASE STUDY 1: CHAPEL HILL PUBLIC LIBRARY

I interviewed Tracy Babiasz, Acquisitions and Collections Manager of the Chapel Hill Public Library (CHPL), to learn her library's policies on acquiring self-published books. She does the adult selection for the library, and her goal is to buy the things CHPL has learned the Chapel Hill community wants to read. "There's a world of stuff out there. That's why you have a library, to curate a little, because we have learned about the community and what they want to read here, which may not be the same as what they want to read elsewhere" (personal communication, February 22, 2017).

ACQUISITIONS

Babiasz said that the majority of the self-published materials she is asked to add to the CHPL collection are from local authors. "The guideline we use there … is that in general, if a local author will donate a copy of their book, then we will add it to the catalog. It is then subject to the same collection maintenance guidelines as everything else: if it doesn't check out, eventually it will go." ("Local" authors are defined as Orange County residents.) A lot of times, authors "are perfectly willing to donate it. They just want to develop their readership." She wants to help: "If you can't have your book in your own local library, then where can you have it, right?"

Sometimes, authors want CHPL to purchase their books, "and if that's the case, it's going to be held up to the same criteria as everything else I buy."

PUBLICITY

One main portion of that selection criteria is anticipated demand. "I need to know that people are going to ask for it. Is there publicity, is there marketing, did it get reviewed anywhere? Give me something to tell me people are going to ask for this." Self-published authors can help make this happen if they are "doing local publicity of some kind, or marketing—they're speaking at Flyleaf [Books, independent bookstore in Chapel Hill], or somebody wrote an article about them in the *Chapel Hill News*. Now I have reason to think people will look it up, and ask, and sure—I'd be willing to consider buying it. But I have limited resources." She also sometimes does get purchase suggestions from other library patrons for books that were self-published. She gives "a lot of weight to purchase suggestions." And she comes across self-published material in sources she reads regularly to keep up with new titles being published. "There are lists of bestselling self-published books in some of the professional literature. *Library Journal*. I was looking at it this morning, and there's a list of the Top Ten. You can find some on Amazon." She might also hear about self-published books from "an email, an eblast, a newsletter of some kind."

EBOOKS AND DIGITAL FILES

Babaisz noted that the criteria that she had been discussing was related to print books. But she mentioned her awareness of SELF-e as a product that makes small-press and self-published books available to ebook readers. OverDrive is the service CHPL uses to make ebooks and eaudio books available to patrons. They purchase the items, but the books are hosted on OverDrive's server. Self-published authors or local authors who wish to donate ebooks can give Babaisz a file, and she can upload it to OverDrive so patrons can access it.

NOT A REPOSITORY

Babaisz named some public libraries that (unlike CHPL) maintain special collections: for example, the public library in Gaston County, N.C., where she worked years ago, had a "North Carolina Room" with books focused on local Gaston County history, and Durham County Library, where she also worked, "has an excellent North Carolina Collection and a person to focus on it." She also noted that some bigger libraries have "created local author sections, at least for their self-published materials, as a way to highlight and bring attention to them," and that these larger libraries may have more resources and thus ability to take a chance on materials that may not be immediately popular. But, she said,

> if we [at CHPL] collect self-published books it's because we think we have a readership for them, not because we think it is our responsibility to have a copy for local history purposes. UNC can do that, the historical society might want to do that … but that's not our purpose. We are a public library with a popular collection to spark curiosity and inspire learning and create connections, and nowhere does it say that our job is to preserve anybody's material. You can't be everything to everybody, right? That doesn't mean that somebody shouldn't be doing that. Maybe it's worthwhile. Maybe the community of Chapel Hill would really like somebody to preserve the writings of their local authors regardless of how they got published. But that's not currently the mission of the public library.

CASE STUDY 2: NORTH CAROLINA COLLECTION

I interviewed John Blythe, Assistant Curator and Collection Development Librarian for the North Carolina Collection at UNC-Chapel Hill. The North Carolina Collection has special collections containing materials by and about Sir Walter Raleigh and about writer Thomas Wolfe; and, in general, collects literature that is by North Carolina authors, was written here, or is about the state.

REPOSITORY FUNCTION

Blythe said that the North Carolina Collection contains subjects and genres including "fiction, poetry, nonfiction, guidebooks, histories of churches, architecture, books about

nature in North Carolina," and that they fill about three to four levels of stacks of material. He explained:

> We seek to document North Carolina's literary culture. What that means in effect is we do try to get self-published books. There's probably several reasons we do that. One, that's part of North Carolina's literary culture. Two, we're trying to think for the future, and as with any archival collection, we really don't know what people 50 years down the road, 100 years down the road, are going to be interested in. So we try to take some guesses and then we just try to get a broad overview. And some of these books, it may be someone in the future wants to know, what was the literary culture like in the mountains, who was writing? … And so we think that some of what we collect can conceivably answer that question. (personal communication, February 23, 2017)

As a sample of some things he had ordered for the collection, Blythe pointed out several self-published or small-press books on a cart nearby. They included a series of mysteries set in North Carolina, a book based on family stories, and two books of poetry.

ACQUISITIONS: PUBLICITY

To find books they might wish to add to the North Carolina Collection, Blythe turns to a number of sources. He reads the Raleigh *News & Observer*, which has an occasional Sunday piece that lists books by self-published authors. He reads other newspapers with similar features. "There's a blog in Western North Carolina that I look at. And then I look at bookstore event calendars" for N.C. stores including Regulator Books in Durham, Malaprop's in Asheville, Scuppernong Books in Greensboro, Flyleaf Books, and Quail Ridge, in Wilmington. "I'll look and see who's doing readings, and I'd say 50% of those people have a tie to North Carolina so I'll look them up and try to get the books." Blythe noted that he generally does not take every book an author publishes, but tries for a representative sample.

ACCESS

Blythe said that while the North Carolina Collection is mainly a collecting library, some of their collection also circulates. "Books that we think Davis Library [at UNC-Chapel

Hill] won't get for whatever reason, but we think are likely to be ones that people will want, we'll get a second copy" that people can borrow. Sometimes they fill Interlibrary Loan requests, particularly for regional mysteries from smaller presses that may not be held in public libraries outside their immediate area. "If we see that we're getting a lot of requests for certain authors, then I may well try to get a second copy."

EBOOKS AND DIGITAL FILES

The North Carolina Collection deals primarily with published print materials. "Thus far we've been fairly lucky in that most authors' output is still published on paper," Blythe said. They are currently in the process of figuring out how they will collect publications that exist only in electronic form. As an example of some of the difficulties around collecting digital material, Blythe mentioned a certain UNC-Chapel Hill athletic booster publication that is in "some sort of Adobe interactive format, and … it's a proprietary format. And so how do we collect that, and *do* we collect that? And that starts to get into the realm of digital preservation." Blythe noted that they do collect some newsletters in PDF form from the Paul Green foundation (Green was a North Carolina writer) and give them to the Carolina Digital Repository (CDR) at UNC-Chapel Hill to store, but

> we haven't done it with [e]books. With books it becomes a whole other issue, because the CDR, at this point, what we put there is openly accessible. If we were to take someone's literary output, that's under copyright … so we've got to deal with those issues too. … Electronic publications—are we collecting them just for access, or are we seeking to do as we've done for more than 100 years, preserve them? We're in the very early stages of trying to parse that out and wrestle with that question.

Publishers' Archives

In *The Story Behind the Book* (2009), Laura Millar gives advice to publishers and authors about what records they should save with an eye toward eventually contributing them to an archival repository. "Technically, a published book belongs in a library, not in an

archival repository," she writes. "For a publisher, however, the book is the fruit of the company's editorial, design, and production efforts: it is the reason the company exists and the means by which the company stays in business. The final product is an essential part of the company's history." She suggests, "as a rule," that authors and all publishers should "put aside at least two copies of all their publications," and says that "it is remarkable how many publishers (and authors!) cannot lay their hands on a copy of their own works" (Millar, 2009). She also mentions keeping two copies in an in-house reference library.

Millar also talks about the importance of keeping galleys and drafts if they show significant changes to the evolution of a book or show innovation in "some new technique or procedure" in the publishing industry, ending the admonition by recounting a "persistent" story about Virginia and Leonard Woolf, who founded Hogarth Press in 1917 and used old galley proofs for toilet paper" (Millar, 2009).

Darnton (1982) says that publishers' archives are "one of the richest of all sources" for the history of books. However, the degree to which publishers keep archives can vary quite a bit. Millar (2009) mentions that many publishers' archives are being maintained by university libraries, such as the archives of many branches of the Macmillan Company.

CASE STUDY 3: MAIN STREET RAG PUBLISHING

I interviewed M. Scott Douglass, editor of Main Street Rag Publishing, a publishing company near Charlotte, North Carolina. The company started in 1996, the year they began publishing *The Main Street Rag*, their print magazine. They began publishing books in-house a few years later. Douglass said that the company publishes very few titles that have initial print runs of more than 1,000 (personal communication, February 28, 2017).

PUBLISHING RESPONSIBILITIES

Though the company does have a self-publishing imprint, Pureheart Press, Douglass said that he largely stopped producing self-published books around seven years ago. "I'm 90% of the company, I do the designs, I do the printing, I do the binding," Douglass said. "We are a production house and I'm the only full-time employee." He also mentioned the publisher's tasks of doing listings for his books with bookstores; pre-applying for Library of Congress Control Numbers (see Appendix A); and sending two copies to the Library after publication.

Douglass said that one of the reasons he scaled back on offering self-publishing services was because people were coming to him to print small runs of 10 to 50 books, then asking for him to issue ISBNs to them and help get the books into the Library of Congress, a costly undertaking. "What makes us different from POD [print-on-demand] is the fact that we do offset covers, and that means that you're not going to be doing one book at a time," he said. "Right off the bat the covers alone cost $500-$600. So it's crazy to do that quality of cover and then turn around and do 10 books. … These days I may go through five numbers for self-publishing in a year. But it's been a while."

DIGITAL FILES

"I have everything warehoused," Douglass said. "I have three external drives. Because I'm also a graphic artist, you have the images for the covers … I have Terabytes of stuff saved." When they began the company as a literary magazine, they laid out files in PageMaker, but changed to InDesign when that program came out in 1999 and have used it ever since for layout.

"We didn't start doing books until 2000. At least not doing them in-house. And when we did, we saved everything. I can open a folder that if you put it in date order would

go all the way back to at least 2003." He said he would prefer that people send him their files as PDFs because they are easier to access. He has reprinted from the master files when a book has run out of stock; and sometimes bigger publishers, who have acquired a book that Main Street Rag originally produced, will ask him for the native files (which he will sell to them).

PUBLISHED LIBRARY

When I asked Douglass if he kept a library of printed books that he has published, he laughed. "Are you familiar with the Moody Blues?" he asked, and then quoted a lyric: "Miles and miles of files, pretty files."

> I have—my office is about 2,200 square feet. I have one whole wall that's nothing but books; it's a 40-foot wall. Those are the active titles. I have probably 5,000 books a year. So yeah, I keep at least one of everything we publish. … I'm an old comic book guy and I'm a collector of things and I know the value of print and first printings.

Douglass noted that he is a writer himself, and that when he publishes on his own label, it's still self-published, technically—but said he always makes sure his work goes through peer review first. There are some writers who don't go through the process of peer review, he said, and are "willing to take a chance on themselves, and I think that's great except for the fact that that it's flooding the market." Last year, Douglass said, "it was over a million" books a year being published, which makes it harder to distribute the works that are produced. There are only "so many dollars if you slice the pie" in regard to people who are going to spend money on books.

Preservation of personal information

Jeff Rothenberg, in his 1995 article "Ensuring the longevity of digital documents," opens with a vivid hypothetical scenario in which he leaves instructions to his grandchildren about how to access their inheritance:

> The year is 2045, and my grandchildren (as yet unborn) are exploring the attic of my house (as yet unbought). They find a letter dated 1995 and a CD-ROM (compact disk). The letter claims that the disk contains a document that provides the key to obtaining my fortune (as yet unearned).
>
> My grandchildren are understandably excited, but they have never seen a CD before—except in old movies—and even if they can somehow find a suitable disk drive, how will they run the software necessary to interpret the information on the disk? How can they read my obsolete digital document?
>
> This scenario questions the future of our computer-based digital documents, which are rapidly replacing their paper counterparts. … In fact, the record of the entire present period of history is in jeopardy. The content and historical value of many governmental, organizational, legal, financial, and technical records, scientific databases, and personal documents may be irretrievably lost to future generations if we do not take steps to preserve them. (Rothenberg, 1995)

In February 2015, a flurry of articles appeared in the mainstream and tech-centered press with headlines like this one from *TIME*: "Why the 'Father of the Internet' thinks you should print out your photos: He foresees a digital Dark Age" (Sandburn, 2015). The stories[11] referenced a February 13, 2015 talk given by Google vice president (and "Chief Internet Evangelist") Vint Cerf at the American Association for the Advancement of Science's (AAAS) annual meeting in San Jose, CA. Publications picked up on the direst portions of the talk. *The Guardian* said that Cerf warned we could be creating a "forgotten generation, or even a forgotten century" (Sample, 2015); *Engineering and Technology Magazine* reported that he said, "We are nonchalantly throwing all of our data into what could become an information black hole without realising it" (Pultarova, 2015).

In the world of archives and records, the idea of a "Digital Dark Age" is not new. The term has been around at least since 1997 (Kuny, 1997) and pops up in the archives and library science literature with regularity.

Cerf was concerned that much of the 21st-century record will be lost because we might be unable to access digital storage in the future, as the methods we have of saving electronic records quickly become obsolete. He planned to create something called "digital vellum" that will make it easier to read digital files universally, regardless of the software and hardware used to create them.

The coverage of Cerf's warning and his "Digital Vellum" lecture circuit also seemed to indicate a need to communicate among ordinary users, computer science professionals, and archives and records managers, about the dangers of losing our digital records and the methods currently available to preserve them. People did not all seem to be on the same page about this issue, what could be done about it, and what progress had already been made. "People outside of the [archives] field hadn't anticipated how quickly this would become such a pressing issue," said Megan Sniffin-Marinoff, Harvard University archivist. "It happened practically overnight" (Kondayen, 2015).

In an essay in *I, Digital*, "Challenges and opportunities for personal digital archiving," author Catherine C. Marshall talks about how various individuals decide what to keep and what not to keep. She quotes a study participant who lost her work because it became inaccessible: "I hosted my podcasts on a free service called Rizzn.net … he then changed rizzn.net to something called blipmedia.com and then … he decided to sell blipmedia … and he never emailed people about it … suddenly the files were gone and the only news I heard about it was when I had to hunt online for what happened" (Marshall, 2011).

British archival curator Jeremy Leighton John used the phrase "archives in the wild" to refer to " 'the personal digital archives that exist outside an official long-term repository,' including the personal archives of academics, literary figures, and politicians, as well as the digital collections of ordinary, everyday people" (Bass, 2013). Bass points out how much of the software we use to create and interact with our information is "proprietary in nature," so that our ability to access information in particular file formats is dependent on the software companies themselves—how stable they are, if they are still in business, or if we have paid for upgrades.

For example, in a thread on the Amazon Kindle Direct Publishing Support Forum titled "Is there a way to download all my files I uploaded to KDP?" from March 9, 2017, a user asks: "My drive fried a few weeks ago. Luckily any new work was not involved, but [my] entire library of work before now is gone. Is there a way to download onto my new computer all the novel files I've uploaded?" A respondent told the person:

> you may see a Download the Html option when you open up the online preview. Failing that, simply download the converted 'mobi' file, also in the preview option. Then download a utility called MobiUnpack or KindleUnpack, which will break out the various files within that 'mobi.' You should be able to open and inspect them using another free software, called Calibre.

There are a lot of software elements involved in this solution. Who maintains them? Calibre is free and open-source, but what if it becomes outdated and fails to interact with newer operating systems?

Lost files or manuscripts are nothing new. In an opinion article (2008) in *The Independent.co.uk*, Author Anna Pavord talks about how, in the early days of learning Word on her computer, she accidentally deleted her entire book-in-progress and was unable to recover it:

> the screen did something it hadn't done before and suddenly threw a new blank page at me with a single letter 'y' on it. I froze. But at the bottom of the screen the W icon

> still displayed the same file name, the one I'd been working on for the past two weeks. And that stupid paperclip in the top right-hand corner was asking me whether I wanted to save the document. Well, yes, you idiot, I thought, of course I want to save it: 17,000 words are hard to win. … So I said yes. In a split second the screen belched again. And the bottom dropped out of my stomach, for in the bottom left-hand corner where the page number is displayed, suddenly instead of 70, there was 1. Unknowingly, I'd overwritten the old document with a new one with nothing on it. (Pavord, 2008)

Pavord didn't realize she could have hit the "Undo" button to get her manuscript back, and had to rewrite the entire 70 pages.

In an August 26, 2015, blog post, Betsy Talbot, an American writer living in Spain who has "indie published" a number of books since 2011, gave some tips to writers for how to preserve, name, and protect their files while they were working on a writing project. Talbot tells writers to "create a drawer in your virtual filing cabinet," label the drawer consistently (she labels it BookTitle_Project), and keep the drawer in several places. She suggested saving the day's work simultaneously on Google Drive, Dropbox, and the writer's computer. (She cautions: "Make sure your backups to Google Drive and Dropbox are working! A writer friend recently changed computers and realized too late that she had not been syncing to Dropbox for the last year.") Talbot also suggests creating folders for the various stages and copies of a writing project, such as preliminary reader copies and files in various stages of proofreading, and considering all of these temporary, "of no use to anyone after the book is finalized." Once the book is formatted, she creates a "folder within the BookTitle_Project called BookTitle_FINAL and add[s] in the .mobi, print, .epub, PDF, and audiobook versions," syncing them to all three places. She also suggests making special folders within the "file drawer" for head shots, book blurbs, and other marketing materials, and moving everything but the final files into an archive file.

"No saving files willy-nilly, no emailing files to myself, no drawer full of thumbdrives" (Talbot, 2015).

Talbot admitted to her readers that her "method may seem like overkill to you. It would have to me just a few years ago. But I've lost work before—once to a power surge at a rental in Mexico and once to a laptop theft on a train in Hungary."

Writers who commented on the blog post shared their own stories of what they did when saving files, including one who said, "I know someone who sent the wrong version at the last minute and found her printed book had typos. I also use the word FINAL at the end of the one that is truly the last version. ... As for the cloud. My head is up there but not my tech ability so some lessons needed." Another described dropping her collaborating partner's laptop and breaking it, almost losing years worth of photographs and having to spend thousands of dollars to get it back. "Some days I am so paranoid I wonder if I should be printing everything out and putting it in ring binders, like the old days."

V. Methodology

Following the literature review, there were three separate stages to this project.

First, I interviewed publishers and librarians who could provide commentary and background that augmented the themes that were surveyed in the literature review. These were chosen via convenience sampling (i.e. they were near me or known to me) or snowball sampling (some individuals were suggested to me by my advisor or by other people I interviewed). I sent out email requests to seven individuals and received four positive responses from people whom I later interviewed for this paper. I also consulted with Anne Gilliland, Scholarly Communications Officer for UNC-Chapel Hill Libraries, in order to review some of the copyright and deposit information in the literature review and verify that I had rendered it accurately. Information from the four interviews was later incorporated into the literature review section of this paper and Appendix A. Three of the interviews took

place in person, and one was by phone. The individuals received consent forms before the interview and signed them (if the interview was in person) or received it by email and agreed verbally to its terms (in the case of the phone interview). The consent form indicated that they would allow their names and titles to be mentioned in the paper and their remarks directly quoted, and that they agreed to allow me to record the interview. I recorded all of the interviews and transcribed them myself.

The second step of this process was to send out a survey to self-published writers. I created the survey in consultation with Teresa Edwards at the Odum Institute, UNC-Chapel Hill; and then refined it in Qualtrics software with the help of Paige Ottmar, the Odum Institute's Qualtrics consultant.

To disseminate the survey, I initially contacted the presidents of two writers' groups in mid-to-large North Carolina cities, asking whether my email recruitment text and a link to my survey could be forwarded to their member list. The groups had around 150 registered members each. I had been a part of one of these groups in past years when I lived in that city, and I knew the president and the past president. The group reminded me they have a policy of not forwarding outside solicitations to their members' emails in order to protect the members' privacy. However, they agreed to have my text and a link to the survey in their monthly e-newsletter. The president of the other group had to consult with other members of the group to see if they would allow my request. She called me to find out more about me and my project. When I mentioned the newsletter option, she decided to use that method, as well. Both groups agreed to have the email sent in the context of their member newsletter rather than as a straight email to their members. In one case, the newsletter editor/president wrote a teaser and inserted it on the front page so that readers would look in the newsletter for the full survey. In another case, I had missed the deadline for the regular newsletter, but

the newsletter editor sent out a special edition with my survey recruitment email and a link to the survey; as well as an introductory text that he had composed. I also contacted Ed Southern, director of the North Carolina Writers' Network, who said he could put my recruitment text and survey link on one of the Network's social media sites. It is assumed that most of the writers who responded to this survey were from North Carolina or states that border it, though it is possible that respondents from other areas who saw the postings participated in the survey, as well. It is not a scientific survey, but was meant as a way to get a selection of people to interview for the next step.

Forty-nine people responded to this survey. It was specified in the survey recruitment text/consent form that respondents were to be 18 or over, and were to be the authors of self-published books. The age box was set so that a value under 18 could not be entered. Four respondents did not complete the survey. Six others answered "0" to the first question on the survey: "How many self-published books have you authored?" This answer took respondents automatically to the end of the survey. This left 39 usable responses to the survey. Thirty-six of these respondents also gave their email addresses, indicating that they would be willing to participate in a follow-up interview about their survey responses. The email addresses were entered on a separate form, and were not connected with the survey responses, which were anonymous.

The third step of the process was to interview a selection of the 36 survey respondents who had indicated they were willing to be contacted. I numbered the email addresses on the form 1 to 36, wrote those numbers on pieces of paper, placed the 36 numbers into a bowl, closed my eyes, and drew out seven (about a fourth of the respondents). I matched the seven numbers with the email addresses they corresponded to, and contacted this random sample. Four of the seven people replied. All four said that they I

could interview them. Time constraints compelled me to stop there, though I would have liked to get a wider sample, and I ultimately conducted four interviews with these individuals, all by phone. The four individuals lived in North or South Carolina.

The four authors were emailed consent forms to review before the interviews. (In one case, I neglected to attach the form, so I read it aloud to her before the interview and also emailed it to her during the interview.) All of them agreed verbally to the terms in the consent form (and some agreed via email as well) before the interview took place, and when asked if they would prefer to remain anonymous, all four said I did not need to keep their identities anonymous. I recorded the interviews, transcribed them, and coded them for commonalities.

VI. Survey Results

Demographics

The 39 respondents were between the ages of 35 and 85, with an average age of 58. Five were in their 30s, seven were in their 60s, and three were in their 80s, with eight each in their 40s, 50s, and 70s. Respondents were also asked, "At what age did you begin to think of yourself as a writer?" One person did not answer this question. Of the remaining 38, the youngest age given was 4, and the oldest was 70, with 42 as the average age at which people began to think of themselves as writers. Of all 38, three people had thought of themselves as writers since childhood (age 4, 5, and 8); three people since their teens (1) and 20s (2); and 11 people in their 30s; with 20 people first thinking of themselves as writers in their 40s (7), 50s (6), and 60s (7), and one in their 70s. Taking the difference between actual age and age at which they identified as writers, it was determined that the people surveyed had thought of

themselves as writers for an average of 16 years, with the longest span of time as 56 years and the shortest as two years.

Thirteen writers indicated that they worked full-time (not self-employed), 12 indicated that they were self-employed, and 14 indicated they were not working/retired.

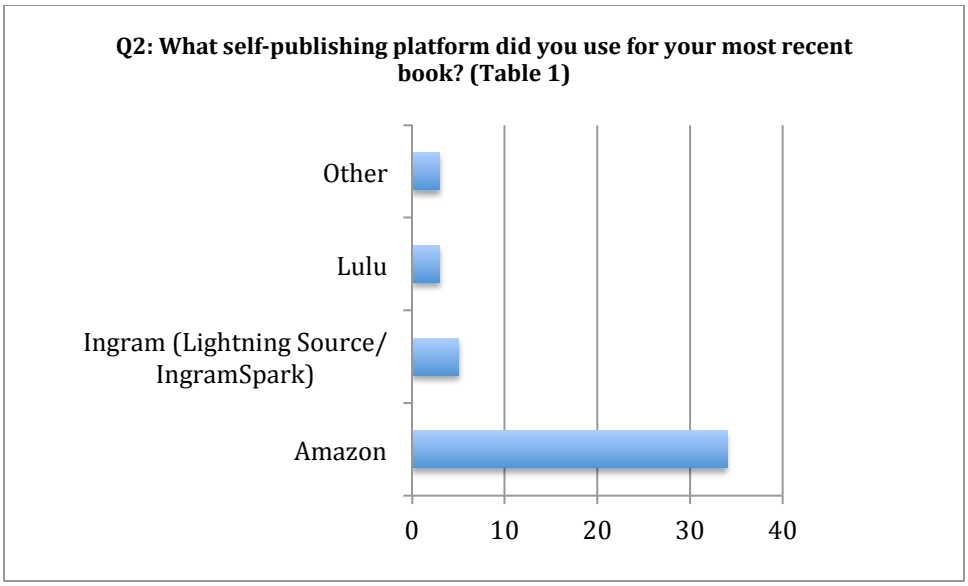
Caveats with the chosen survey terminology

The choices I provided for Option 2, "Which self-publishing platform did you use?" could have offered much more accurate terminology to reflect the platforms people use most in the current self-publishing world. The answer "Amazon.com" could have been broken into CreateSpace and KindleDirect Publishing (some people wrote "CreateSpace" or "Kindle" into the "Other" text box, even though Amazon, which owns CreateSpace, was already listed as an option). The biggest omission was a result of my own confusion between Lightning Source and IngramSpark, which are both owned by Ingram Content Group. The combination of using Ingram and Amazon to publish and distribute books is much talked about in the self-publishing world (see later under the interviews with self-published writers, where three of the four writers I interviewed mentioned this choice). Lightning Source is the Ingram Group's print-on-demand arm, which is used by many small publishers; but IngramSpark is specifically targeted toward self-publishers. I wrote "Lightning Source" as the second choice on the survey, when I should have written "Ingram" or "IngramSpark." I relied on authors to write in any options they did not see on the survey, but my poor terminology may have led to the Ingram option being under-reported. See more discussion of this under "Implications for Further Study."

General survey results

The survey showed that for Question 1, "How many self-published books have you authored?" 17 people (44%) out of the 39 respondents answered "1." Seven people (18%) answered "2," and six people (15%) answered "3." Two people had published 4 books, and three people had published 5. One person each responded that they had published 7, 8, 10, or 19 books.

In response to Question 2: "What self-publishing platform did you use for your most recent book? (Choose all that apply)," Amazon.com was the overwhelming winner, with 34 individuals (87%) indicating this platform. Thirty-one people marked the "Amazon" option, while three more wrote "CreateSpace" or "Amazon CreateSpace" in the free-text "Other" response box but did not actually mark the "Amazon" option. (One other individual wrote "Kindle" in the free-text box *and* indicated the "Amazon" box.) One of the "Amazon" respondents also indicated "B&N and Kobo." "Lightning Source" received four responses, and "IngramSpark" was written into the free-text box, giving five responses to the Ingram option. All five of these individuals indicated that they used Amazon.com as well as the Ingram option. Three people chose "Lulu." Of these, one used Lulu in conjunction with Amazon, and two used Lulu only. The Amazon, Ingram, and Lulu responses totaled 36 individuals.



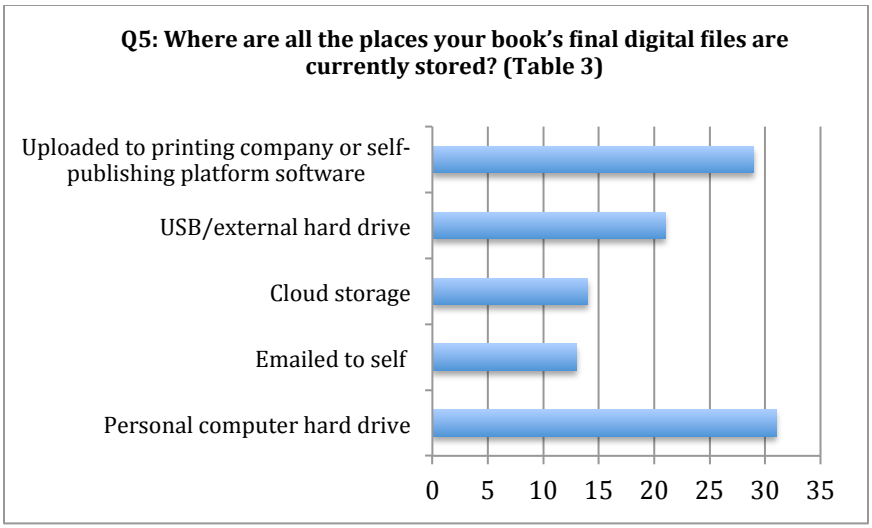
Additional platforms written into the "Other" category included two individuals who indicated they used only a local printer or regional press; and one who used Smashwords only. This brought the total to 39.

Q2: What self-publishing platform did you use for your most recent book? Free-text "Other" responses (Table 2)
Amazon Createspace
we did it independently with a local printer and used Microsoft Word
B&N, Kobo
Amazon Create Space
contacted local publisher
IngramSparks. Smashwords
Lorimer Press, based in Davidson
Createspace
Kindle

In response to Question 3, about format, 29 people (74%) indicated they had published their most work as both an ebook and a print book. Four had published it as an ebook only, and six had published print books only. One of the "both" individuals wrote in the "Other" category: "Hardback, paperback, all ereader platforms." In response to Question 4, "Was your work registered for federal copyright with the U.S. Copyright

Office?" 18 people said "yes" (46%), 17 people said "no" (44%), three people said "not sure," and one person did not respond.

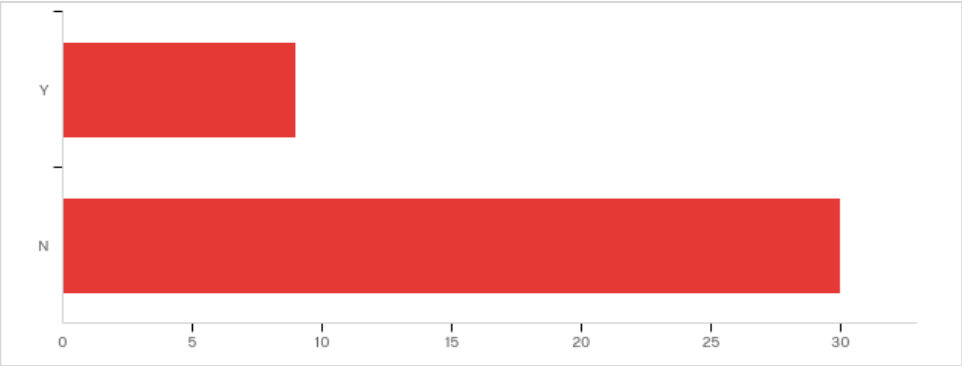
In response to Question 5, "Where are all the places your book's final digital files are currently stored?" 31 people indicated "Personal computer hard drive," 13 people indicated "Emailed to self," 14 people indicated "cloud storage," 21 people indicated "USB/external hard drive," and 29 people indicated "Uploaded to printing company or self-publishing platform software" (28 people chose this actual option and one wrote "Createspace" in the "other" section). Two more answers in the "Other" write-in section specified that files were also stored on co-authors' computers. In addition, authors were asked if they saved a printout of their final manuscript when they finished a writing project (17 "yes," 11 "no," 10 "sometimes," and one missing answer) and if they saved printouts of manuscripts-in-progress while they were working on a writing project (16 "yes," 12 "no," 11 "sometimes").



Q5: Where are all the places your book's final digital files are currently stored? (Choose all that apply) **Free-text "Other" responses (Table 4)**
My daughters are co-authors, they have copies also
co-author's personal computer
used a local NC printer for a short run of paperbacks - so he has as well
Printed copies
thumb drive
Create Soace files

Question 8, "Have you ever lost the files of a book you were writing?" and its follow-up questions yielded some interesting results. Nine people answered "yes" and 30 people answered "no." Of the nine "yes" answers, five people said they had been able to recover the files and four said they had not. All nine were then invited (in Question 10) to "Please explain what happened." Their answers included "Usb drive fell through a hole in the bottom of my suitcase while on a flight for work," "My purse was stolen with a flash drive in it," and "my wife deleted a chapter in my unpublished novel I was able to find an old copy and restored it."

Q8: Have you ever lost the files of a book you were writing? (Table 5)



Q10: Please explain what happened. (Table 6)
files were on disc drive no longer on current computer
My purse was stolen with a flash drive in it.
My jump drive broke and I was unable to use it. I retrieved my manuscript from drop box
a laptop crash
my wife deleted a chapter in my unpublished novel I was able to find an old copy and restored it.
Files were deleted and had to retype the entire file
Usb drive fell through a hole in the bottom of my suitcase while on a flight for work.
Hard drive crashed. Some of the work was printed out, but the latest changes were lost.
I can do that

Next was Question 11, "Have you ever tried to get your book into a library's collection in the hopes it can be preserved for posterity?" Twenty-seven people (69%) answered yes, and 12 people (31%) answered no.

In Question 12, I asked the respondents to weight the importance of five items on a four-part scale, from "no concern at all" to "major concern." Some of these items were not closely connected to my research questions, but were put there to avoid drawing attention toward one type of question over another in that list of five. The five items were "Making money from my book," "Promoting/Advertising my book," "Getting my book picked up by a traditional publisher," "Ensuring that my book's digital files are preserved and maintained," and "Having my book in a library collection." As can be seen in Table 7, the number-one "major concern" out of all five questions was "Promoting/Advertising my book." Twenty-one people (54%) labeled this a major concern and 12 people (31%) a moderate concern. The highest number of people who answered "no concern at all" to a single question was 13 (34%) to the question of "getting my book picked up by a traditional publisher," though 17 people in total among all the 38 respondents (45%) did indicate this was a "moderate" (11) or "major" (6) concern to them (one person did not answer).

"Making money from my book" was a "moderate" (17) or "major" (9) concern" to 66% of the 39 who answered.

As far as the more records-related questions, "Ensuring that my book's digital files are preserved and maintained" was a "moderate" (13) or "major" (13) concern to two-thirds of the respondents (26 of 39 people, 66%). "Having my book in a library collection" was a "moderate" (8) or "major" (13) concern to a small majority, 54% of the people surveyed.

#	**Q12: How big a concern is each of the following for you as a self-published writer? (Table 7)**	No concern at all		Minor concern		Moderate concern		Major concern		Total
1	Making money from my book	7.69%	3	25.64%	10	43.59%	17	23.08%	9	39
2	Promoting/advertising my book	5.13%	2	10.26%	4	30.77%	12	53.85%	21	39
3	Getting my book picked up by a traditional publisher	34.21%	13	21.05%	8	28.95%	11	15.79%	6	38
4	Ensuring that my book's digital files are preserved and maintained	12.82%	5	20.51%	8	33.33%	13	33.33%	13	39
5	Having my book in a library collection	10.26%	4	35.90%	14	20.51%	8	33.33%	13	39

VII. Interviews with Self-Published Authors

Basic background: Number of books, format, genre

The four writers I interviewed, like the majority of the people I surveyed, had written between one and three books. Wanda said she was working on a series of four books; she had self-published the first one about six months ago. Marie had self-published one book. Jenifer had published her first two books with a small publisher, initially, but self-published them after her contract with that publisher ran out, and then self-published her third book. Maryrose had written three books: the first two were self-published, and her third was "about to be published by a regular press" (personal communication, April 13, 2017). Two

people had written fiction, one had written nonfiction, and one had a nonfiction book and two books of poetry.

All four of the authors I talked to said they had published both ebooks and print books, like 74% of the survey respondents said they had done for their work. Two specifically mentioned that their print books were selling better than their ebooks. Wanda said, "Most of my audience, they want print. I do ebooks, but I sell probably four or five prints to every ebook" (personal communication, April 10, 2017). However, she also said that an indie author friend of hers, who wrote for a young adult audience, "writes strictly ebooks" because her audience bought more of that format.

(I will frequently use the term "indie authors" here to refer to self-publishers, following how they referred to themselves.)

Self-publishing platforms (Amazon/Ingram)

All four writers had used Amazon's CreateSpace to publish their print books. Three specifically mentioned using Amazon Kindle for their ebooks. Three of the four also mentioned using or thinking of using IngramSpark to help distribute their books to non-Amazon channels—this dual distribution strategy seemed to be much discussed in the indie author world. As Wanda put it, "I publish with two distributors. I use Createspace to publish to Amazon … but then I use IngramSpark to distribute to everybody else, like Barnes and Noble and all over the world." Wanda noted that Ingram is "the distributor to libraries and bookstores." Maryrose (who did mention Lightning Source in conjunction with Ingram) also said that an association with Ingram would provide her with easier distribution to bookstores.

Two of the authors talked about how much they appreciated CreateSpace's customer service. "They're used to working with small publishers or independent authors … you can pick up the phone and call them and get any answer you want," Wanda said. Jenifer echoed that sentiment: "They have the best customer service on Earth. … You can talk to them 24/7 in ten seconds" (personal communication, April 12, 2017). Out of all the things an indie author has to figure out, Jenifer said, the actual task of publishing is not very hard to learn, especially with the ability to call CreateSpace and ask questions. However, Jenifer made a distinction between CreateSpace and Amazon, which owns it: "[CreateSpace has] helped me with a lot of things that, really, it was Amazon's responsibility, but … you can't even talk to somebody at Amazon."

Multiple copies and digital storage

All four authors mentioned that they were concerned about making sure they saved copies of their work in multiple locations. Marie said that she had even bought a new computer "when I undertook this project, specifically so that the system would have capacity and I wouldn't be running into a bunch of obstacles because we had a very old computer" (personal communication, April 11, 2017). Along with their computer hard drives, they all had additional places where they saved their works in progress and final files. Marie said that she saved things in the cloud. Wanda sent me a diagram she had created that charted her process of saving work (which she kindly said I could use in this paper). The diagram shows that she uses two online backups, Dropbox and Mozy, where she keeps the final versions that she has uploaded to CreateSpace and Ingram. "We would have to have somebody fly over America with a giant magnet for me to lose everything," Wanda said.

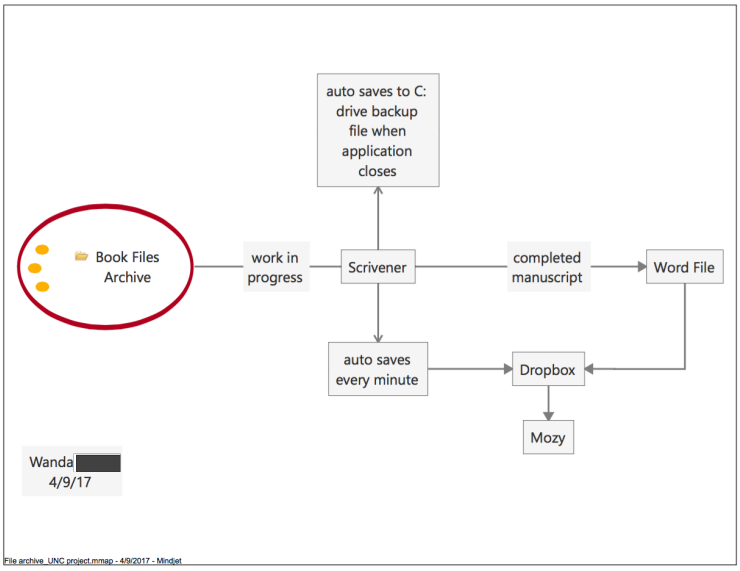


Diagram of Wanda's digital archiving process (courtesy of the author)

None of the writers I interviewed had lost manuscripts, but Jenifer said she had two computer crashes in years past, and had lost photos. Making sure her writing projects are safely stored is

> something I stress about constantly. I have those three published books and then I have maybe two and a half finished manuscripts on my laptop, and I have a backup drive that I plug in, and I have a thumb drive that I save to constantly, and I also email things to my husband's email throughout the week because I'm just so nervous. … I have so many files with [book] covers and then actual manuscripts and blurbs and losing any of them would just be such a disaster.

Jenifer said that her previous computer crash experience is "probably why I'm so nervous about it because I know it actually can happen with very little warning. You've got to just save all over the place."

Maryrose mentioned that someone she knew from a writer's group had lost her files due to a "ransack" through the Internet, didn't have a backup, and had to pay a lot of money to recover them. To ensure that she had multiple copies, Maryrose said that she printed out her work when she got "to a certain stage" and also emailed the work to herself. She noted that the files were stored on the CreateSpace server once they are uploaded there.

Two others brought up additional software they used to store work in some capacity. Wanda had a file for her blog posts in a writer's software called Scrivener, which she also used to organize her writing; and Maryrose named Submittable, submission management software that is used by many organizations, where authors can create an account and access their submitted work. "Sometimes it's easier for me to go to Submittable and pull up my cover letter or a short story or something from there, because it's filed there very easily," Maryrose said.

Copyright

For some of these writers, copyright was seen as one more of the things to worry about on the huge list of tasks for a self-published writer to do. It was time-consuming to figure out all the intricacies of the law, and obtaining copyright was yet another expense. Though they all knew that copyright was implicit even without registration, two specifically mentioned worries about piracy. "I think it is valuable to actually register," Marie said, noting that "my understanding is … you might have difficulty actually stopping people if you're not registered."

Wanda said that she was recently reading to try to understand more about the different functions of the Library of Congress and the Copyright Office. She said that she had mailed the Library two copies of her book for deposit when she registered for copyright. "I couldn't get it into my mind the difference between ... I mailed those off, and the address is the Library of Congress. But that has nothing to do with getting it registered with the Library of Congress, that's just simply for the copyright." She may have been referring to getting the work accepted into the Library of Congress' collection and into their catalog by

submitting it through the PCN program—a different process altogether from copyright and deposit (see Appendix A).

Maryrose said that she got a Library of Congress Control Number through the Library of Congress. "When I applied for that, I found out that they still had the information of my [late] husband's—see, I'm stepping into his shoes. He had been a publisher as well as a poet, and he had been registered with the Library of Congress. So they just updated the address—my publishing has the same name as his did."

Resources: finding information about self-publishing

Clearly, writers who self-publish have to learn a great deal of information about all aspects of the process—what software to use, methods for to saving their files, how to navigate copyright regulations and various book production processes. This section asks the question: Where do self-published writers get their information? (This is an addition to my originally proposed research questions, but it seems an apropos one to ask in an information science paper, and it developed as I gathered more and more data from my interviews.)

The main answers to this question seemed to be: larger writers' groups/organizations, and other indie author friends. Facebook was also mentioned by three of the writers I interviewed, but in different capacities: in one case, as a resource for information on self-publishing (specifically in reference to a Facebook page called "Self Publishing Formula"); in another case, as a place to commiserate and share experiences with other self-published writers; and in at least one other case, as a way to do marketing. (One person mentioned Twitter, as well, in a marketing capacity.) Blogs, classes put on by writers' groups, and newspapers (such as the *Guardian*) were also named as sources of information.

Two people also talked about hearing things that "they" said it was best to do—"the infamous they," as Wanda put it.

Writers' groups: The writers I interviewed talked about writers' groups that had been important sources of information for them as they figured out how to navigate the indie author world.

Maryrose said that in the past, she had been a member of "a local writer's group, High Country Writer's Group," that was "very helpful" for her when she was starting out. Marie talked about being a member of the North Carolina Writers' Network—which she called "a wonderful community of writers here in the state and a marvelous resource"—and said that she learned "a lot from them." Two people, Wanda and Marie, also discussed ALLi, the Alliance of Independent Authors, an international organization to which they belonged. Marie said that ALLi's membership "is European and American, sort of a mix of members. Some of what they do, I feel like is very focused on the UK, but still, it's a wonderful resource. They're a great platform for independent authors to acquaint themselves with different marketing strategies, different publishing strategies, comparison of CreateSpace and IngramSpark" and other venues.

Wanda and Marie also mentioned national Indie Author Day, whose second anniversary is coming up on October 14, 2017. Events that build relationships between authors and libraries are being held around the United States on this day. Wanda was involved in the planning for a "weeklong indie author festival" that is to take place in South Carolina near Indie Author Day. "We're going to have CreateSpace come in and speak because they're in North Charleston, and in fact they are relocating to Columbia, [S.C.]," she said, "so they'll probably be here by the time we have the festival." She also said ALLi would participate in the festival by Skype; and they were planning to have participation from SELF-

e, *Library Journal's* program that helps libraries to curate and make self-published ebooks available to their patrons. (SELF-e, Wanda said, is "sponsored by South Carolina libraries.") Along with speakers from those organizations, a panel of indie authors was going to talk about "nuts and bolts things" like getting ISBNs, and whether to use the combination of CreateSpace/Ingram Spark. "All those things—every indie author has to struggle with those decisions," Wanda said.

Marie talked about how, even with the help of these writers' organizations, it was still hard to learn all this information amidst the busyness of life:

> I work full-time. Writing's not my full-time gig. I try my best to saturate myself with as much information as I can, but I'm doing it all on my own. I'm getting it mostly from these groups, North Carolina Writers' Network and ALLi, but there's much more material out there that I could avail myself of … ALLi's running classes or free groups all the time, and I just don't have all that time because I work. … And even when you find a resource like ALLi, I don't have the time to do the self-education [about IngramSpark and such options]. Self-publishing is a hard road.

Information about copyright: Some of the writers I interviewed talked about where they had learned their information about copyright, specifically. Marie said that her friends had recommended registering with the Library of Congress, and also said that she knew of a relevant class offered by the North Carolina Writers' Network: "They run a Spring and Fall Seminar, and I believe in the Fall Seminar there was one with a lawyer" at which they talked about copyright registration.

"You have implicit copyright on anything, of course, but you know, all the 'they'—the infamous they—they always recommend that you go ahead and go with the full copyright," Wanda said. "I was reading on a blog last night that some author had her book stolen, and she said that the attorney told her if she'd had it officially copyrighted it would be a whole lot easier. He was still going to defend it but, you know … uphill battle." Wanda also turned to friends for information here: "I have a friend who used to work for the

Library of Congress so I called her and I said, 'Help me understand this,' and [she] gave me the right places on the Internet to look."

The "current wave": More people than ever before are seeking information about self-publishing, Wanda said, as she described "the many hundreds of thousands of things that make being an indie author so challenging."

"Indie authors have been around I guess a good while," she continued, "but the current wave where you have so many people independently publishing their work—that's fairly new, the last five, maybe ten years. There are so many authors who are just like me, who are just learning all this stuff, and it's totally overwhelming. I mean, overwhelming. It's hard enough to write a book."

Publicity

In the survey I disseminated to self-published authors, the number-one concern out of all five options in Question 12, "How big a concern is each of the following for you as a self-published writer?" was "Promoting/Advertising my book." Out of 39 respondents, 85% labeled this a "major" (54%) or "moderate" (31%) concern.

Generating publicity for their books was indeed a major concern for the four authors I interviewed—one that took a great deal of time, effort, and money, but was a necessary part of their books' life cycle. The authors discussed various methods they had for selling their books and bringing them to the attention of their audiences.

Ad campaigns and online marketing: Marie said she had put money into a campaign on Goodreads, and also tried Amazon marketing for a time. She also did some "Facebook marketing, which I thought was kind of valuable, and I made a Facebook page, an author page, and I suppose I should have a website. I don't." She also mentioned being on the

"KDP free library"[10] as well as being aware of publications where she could pay for the opportunity to have her book reviewed. Paying for reviews from certain publications was something Jenifer mentioned, as well (see later section on libraries).

Two writers who had experience with small (not indie) publishers for some of their books said these publishers had not done any more promotion than they could have done for themselves. Jenifer said she realized this was "the norm," and she reflected that even the biggest publishers were the same: "You know with a big publisher, they put all of their money into the big names that they know are going to sell anyway," she said. "Like when the next Stephen King book comes out, people are ready to buy it. So that's the one that they need to advertise and make sure people know it's out." She said promoting her books "made a big difference," and mentioned doing Amazon ads, Facebook ads, and others: "I just paid … to give away my book for free on a distribution list called Robin's Reads. … I had almost 7,000 downloads, and I've seen a big uptick in sales of my other books because of it."

"It's so much time. I have to say. It is so much time," Jenifer said. "I spend way more time looking at reports and trying to put together ads … than I do writing, which is so sad, because writing is fun and wonderful and promoting is stressful and terrible. But I feel like it's kind of an investment in the future."

Book clubs and local connections: Three of the writers I interviewed talked about connecting with book clubs, either as a way to sell books or to build an audience. "I purposefully placed my book in a local setting," Wanda said. "Madden is a fictitious town, but people around here recognize bits and pieces of the small towns that it was taken from." One reason she used the local setting was because it made area bookstores and gift shops more eager to stock her book, and because "book clubs love to have you come talk about it." She said she hears readers get excited to read in her book about restaurants they have

been to and places they recognize. "That was a conscious decision that turned out to be pretty good for my needs."

Maryrose said she had a connection "in Chicago with a gentleman who sends out Internet news to Irish-Americans. He was a very good connection, and because of him I had a book club who picked up my book, and they bought it for their discussion." Through this man, she also found a "promoter of books" in Dublin with over a million Twitter followers, who was trying to spread awareness of her book. "But the other avenue that I know works," Maryrose said, "is making a personal appearance, reading from my books, and selling them at that time." Like Wanda, Maryrose talked about how rooting a story in a real area can build connections with local readers invested in that place. She talked about one woman who "has been writing Appalachian stories, fiction, for oh probably a couple decades now," who had 40 books on Amazon, naming her as someone who did very well and "set the standard"—the local aspect of the books, as well as the steady number of titles, has kept readers interested.

Jenifer commented, too, about her personal connections with friends in her community, and how they led to interest in her first book. "I do a lot of volunteer work. I feel like I have a lot of connected friends," she said. "I feel like when I wrote my first book, people wanted to see … what I wrote because I wasn't a writer before that."

Real-life incidents (nonfiction): The two authors who had written nonfiction talked about how the subject of their work influenced the kinds of connections they were able to make with readers.

Marie's nonfiction book was about the Incident at Ribbon Creek, a 1956 court-martial of a marine corps staff sergeant who was a drill instructor. "It's a pretty significant court-martial in Marine Corps history," she said. It resulted after a night exercise in which six

recruits drowned. The staff sergeant was her uncle, and the defense attorney was her father. The incident has a Wikipedia page, and Marie noted that there seemed to be a correlation between people who read the page and interest in her book. "I had a vested personal interest in writing this story," Marie said. "Most notably, I think, some of my motivation was to have a very clear record out there of what happened as well as the backstory of the defense of the case. I think I achieved that goal for sure, but I guess it has some limited appeal, if you will."

Maryrose was publishing under her late husband's imprint, Big Table. Her second and third books are works of poetry, but her first, *Beats Me*, is nonfiction, about her poet husband and censorship challenges he faced while trying to publish Beat poets in his magazine *Big Table.* The "first magazine that was published as *Big Table* became a cause celebre," she said, because it was involved in a case in which the Post Office tried to censor U.S. literature. She said that "authors of the time stood up and wrote in favor of the decision for *Big Table* [and] the word got to London, but that was 1959, 1961," and she believes the case is not as widely known as it could be outside of Chicago, where the case was heard. She told me, in fact, that her husband's papers, "which are extensive, have been archived for over a dozen years at the University of Chicago." She even sent me a link to the finding aid.

> Boxes and boxes they have at the University of Chicago. … I think there's 800 poems he has at the University of Chicago. It's really an extensive listing. What happened was they had a contact with my late husband … because first of all he was an alumnus. Second, he was a guest editor for their magazine when they censored it. And so they became part of that censorship history. And when he died, I offered them the first group of papers, which they accepted, and then the second group they bought from me. He had connections to Allen Ginsberg and the very first publications of William S. Burroughs, so there's a lot of history there they didn't want to lose.

Libraries

In my interview with these writers, I asked them to comment on the survey's Question 11, "Have you ever tried to get your book into a library's collection in the hopes it

can be preserved for posterity?" All four authors I interviewed had worked with libraries in some way or had gotten their work in libraries.

Marie said that she had gotten her book into the Durham County Library: "I work in Durham County, so obviously I was in conversations with some of the folks over at the library because I work with them." Maryrose mentioned early in the interview, before I even asked Question 11, that she was very interested in getting her books into libraries, especially her first one about *Big Table* and censorship. The book "has literary history that's not readily available and I'd like to make sure that it gets into libraries. I know it's in the main library of the city of Chicago and also at the University of Chicago. But I don't know any other libraries that have it." She said that the process for submitting the book to the Chicago Public Library "was very simple. I went online, and I recommended the book, and they bought it. It was that simple. I have never found yet another library who has that system." Maryrose noted "a disconnect" when she has tried to approach other libraries. "And that's why I want to republish with Ingram, because they have already a proven path to libraries."

Jenifer said there were many copies of the ebook and paperback of her first book in the Charlotte library system, but

> I don't know how they got there. The *Charlotte Observer* wrote an article about me a few years ago. I have a feeling maybe when that came out, maybe people started requesting the book locally and so they bought some copies. I never know how that happened, but they don't have any of the other books. … My parents live in Massachusetts, and they saw my books in two libraries, and I have no idea how.

Wanda said that she had recently done a book signing at the library and had sold maybe four or five books, "which is nothing, really," but she was glad she had done it. She mentions "the people who say 'it's a waste of time to work with the libraries' because people don't go to the libraries to buy books, they go to the library to check out books, so it's not an ideal place from a sales viewpoint." But she still wants to work with libraries. "I come

from the old school where—you know the old saying, 'Heaven must be some kind of library' … I love libraries, I have such fond memories of childhood spending hours in the library, so it's important to me."

Jenifer also mentioned concerns about sales:

> I do a lot of local book clubs, and that's a chance to sell your books, and all the time I show up and like there'll be 15 people and every single person got their book from the library and like one person bought an ebook. So I'm most happy that people are reading it, but I feel like I never get any sales because people go to the library. I think people who tend to be in book clubs, they don't want to buy books every month, so they pick books that maybe are in the library and they get them through the library. … And then one of my books, I paid for a *Kirkus* review … They say that they pick like one percent of the indie reviews and they include them in their journal that goes to all the libraries. And mine was going to be in it … it was such a good review, and I was so excited. And I don't think I saw one single sale because of it. So no, I have not pushed at all, and the ones that are in there [in libraries], I don't know how they got there.

Two others mentioned innovative things that libraries are doing with self-published authors. "The libraries have been wonderful. Way back, there was a time when if you were an indie author, you couldn't get their attention, but that is so changed," Wanda said. "It's just heartwarming to hear all these wonderful things these libraries are doing to support indie authors," such as the events surrounding Indie Author Day in October. Marie also mentioned Indie Author Day. "I think that there is, increasingly, for those libraries that participate, a venue and platform for self-published authors," Marie said.

Wanda also talked about how the libraries were part of the local community. "I do want to get that recognition and to be locally, at least, known as someone who is a writer," she said. "But more than that, it really is just my love of libraries. I just don't want to be left out of that process."

Traditional publishing vs. self-publishing

All four of the authors had either considered (however briefly) going with a traditional publisher, or had actually done so for one or more of their books. They all noted the many challenges of self-publishing, but ultimately found a lot of benefits in being their own publishers, and expressed their thoughts about whether the "stigma" of self-publishing was going away.

Time and expense: The authors I interviewed had invested a lot of time and money in their self-publishing ventures. There were membership fees for the various writers' groups; production costs (one person talked about paying CreateSpace to convert her files to an ebook with KDP, another talked about hiring someone to do her book cover design); marketing costs; as well as paying for editing and other services. Jenifer remarked, "I have a lot of volunteer responsibilities that would probably be the equivalent of a part-time job, but I don't know how somebody can write books and have a full-time job. I know that people do; it just amazes me. Because it just requires so much time, and life takes some time too."

Logistics: "Every indie author is a publisher," said Wanda, who had previously owned a business. She brought up the decision of whether, as a publisher, to operate as a sole proprietor or to set up an LLC (limited liability company). An LLC would help shield a writer's assets if she should be sued over something relating to her book. Wanda, who had worked in the insurance field, set up an LLC. "But that is again another whole set of work."

Wanda said that was possible to let CreateSpace take care of more of the publishing responsibilities, but that she did not consider this because it gave her less control over her book. (When self-publishing on CreateSpace, authors can use a free CreateSpace ISBN, which makes CreateSpace the imprint of record and limits distribution options. Many

bookstores do not want to stock books that clearly say they were published by Amazon. Buying your own ISBN allows you to name your own publishing imprint.)

Marie noted that self-publishers are distributors, too: "There's a terrible prejudice against Amazon with the bookstores. They won't touch anything with a CreateSpace or Amazon product." She said that two ways to help with distribution in the face of that are to use IngramSpark, and to create an author imprint.

Flooded market: Wanda said she had recently been talking with another writer friend about how hard indie authors have to work to get their books to stand out:

> on one hand, you have to have all these creative writing skills, and you know the market is flooded with books. A mediocre book is just not going to get noticed. Even a great book is hard to bring out of the crowd. So you've got to have all these right-brained, creative skills, and then, when you finish your book, and you try to market it, now all of a sudden you have to put on a totally different hat and become this entrepreneurial marketing person, which is a totally different skill set.

Perceived stigma: Marie said she felt that there were some "innate prejudices within the publishing world," and that the stigma that long existed against self-published books is still not quite gone. "You just feel like the cards are stacked against you in a lot of ways when you take the road of self-publishing," she said. She said she wishes the publishing world—"the big companies, Random House, and … the Big Five, they call them" would give self-published authors more recognition. "I understand there's a lot of junk out there in the self-publishing world," Marie said. "I understand that there's problems where people have plagiarized other people in the self-publishing world. Because maybe to some extent it's not as regulated as it could be or should be. But I would love to see less of the stigma, which I think is in fact starting to be removed, but there still remains some stigma to self-publishing. I even think the *Guardian* recently did an article about why you should not self-publish."

Wanda also touched on this stigma. "I belong to about three or four different writers' groups," she said, "and in one of the groups at least, there are a couple of traditional

authors in there in particular who are very snarky, who are just very, 'If you're self-publishing, it's because … you can't get a publisher, you can't get an agent.' And you know, the reality is … there are plenty of people like me, who—for a very short time I considered going the traditional route, but I just knew that wasn't right for me. I love having control."

Being in control: In spite of all the difficulties, the self-published writers I interviewed all enjoyed the control over the process that came from self-publishing. In fact, three of them used that very word, "control," while the other used the words "being in charge."

"I do everything myself," Jenifer said. "I do the formatting, I do all of that myself so that I can own it and make changes when I want to. I'm kind of a control freak."

Marie called self-publishing an "opportunity," and said, "I think that there are enough people out there with important stories to tell that are worth telling, that if they can't get published [in another way], that the self-publishing platform is important, and [it is] part of our freedoms to be able to do that. … Because the only thing that controls it is you. There is something spectacular about that."

They mentioned several other advantages that self-publishers enjoy: self-publishers get to keep rights they might otherwise have had to sign away with a traditional publishing contract; self-published authors can offer lower prices and take home more of the profits than they would if a book was published with a house that had a number of other people (agent, editor, etc.) "taking a cut"; indie authors are in charge of the timing of publication. Jenifer also noted, "I feel like [with] self-publishing the quality is really going up."

Jenifer had published her first two books with a small publisher, and then republished them herself when her contract ran out. She reflected on becoming a self-publisher:

> When I first wrote a book, I went with a small publisher, I kind of had an offer from them right away and I really didn't know what I was doing. But right after that it was

> like oh my gosh, I've got to write better, I've got to get an agent, I've got to get a traditional publisher, and I thought that was so important. And now that I'm kind of looped into the self-publishing world and connected to a lot of self-published authors who really are making a good living from this, my whole mindset has changed. This isn't a thing that you do when you can't get traditionally published. This is something that gives you complete control over everything. You can do very well with it if you put your mind to it. So I went from thinking almost like there was a stigma to self-publishing to feeling like, "This is so incredibly cool." … I'm more excited about it every day.

VIII. Implications for Further Study

This paper was an exploratory study. It only touched the surface of questions regarding self-publishing. Below, I have proposed several further questions that could easily be treated by more in-depth studies about this topic.

Mandatory deposit regulations and copyright

My study left unexplored the intricacies of the current state of deposit, especially e-publications deposit, at the Library of Congress. What actually happens to books that are deposited through this program? Where do they go? How long do they stay in storage if they are not selected for the Library's collection? Interviews with people at the Library of Congress would have been a helpful addition.

It also would have been helpful to clarify further the different functions and operations of the Library of Congress and the Copyright Office, and to explore in more depth how indie authors understand the various functions (copyright, deposit, LCCN and cataloging) these offices perform. Initially, I wanted to ask self-published writers on my survey how much they knew about mandatory deposit regulations, but I was worried about inadvertently exposing them to a fine, however remote that possibility might be—so I left any questions about mandatory deposit off the survey. Surveying writers about their views of

deposit might be a good project for someone who has more time for the necessary groundwork it would take to cover a wider sample of anonymous writers. It would also be interesting to survey authors about their views of copyright in more depth, such as whether they had fears of their work being pirated (as some of the authors I interviewed expressed that they did)—and to document what has happened in actual piracy cases.

Another facet left unexplored in this paper is whether CreateSpace has anything to do with sending books off for deposit if they are published with a CreateSpace ISBN and thus have a CreateSpace imprint. As far as I can tell from what I have read on forums, CreateSpace does not take care of this requirement, and deposit remains the author's responsibility—but I could be wrong. This is yet another area that it would be helpful to clarify with further interviews.

Information sources

Though the subject of information sources was treated a bit in the "author interviews" section of my study, it would be interesting to see a future survey that was more focused on asking self-published writers where they turned for information about the process of self-publishing, such as whether they used Facebook, blogs, trade magazines, writers' groups, etc.

Redoing/updating previous studies

Several existing scholarly studies about self-published books were conducted in the early 2000s. If these studies were updated in today's publishing climate, how would they fare? Take, for example, the study performed by Dilevko & Dali in 2005, in which they surveyed OCLC library collections to find how many of them held self-published books from seven

particular self-publishing companies. At the time, the three most heavily represented self-publishing companies in their sample were AuthorHouse, Xlibris, and iUniverse; while "handbooks, manuals, guidebooks, and self-help titles" was the number-one genre of self-published books in the sample. If this study were to be redone today, what would be the top genres of self-published books held in libraries? What would be the top self-publishing platforms used to produce these books?

Self-published writers' digital literacy

There could also be a more comprehensive survey done in regard to self-published authors and their digital literacy. For example, does a person's age, years of experience as a writer, or amount of free time available for self-education (i.e. aside from work) have any influence on an author's choices about how they decide to back up their materials (i.e. external drives, in the cloud, printing things out)? I approached this idea with some of my survey questions, but didn't have time to do all the necessary correlations between ages, work status, and other responses.

Librarians' collection policies regarding self-published material

Another possibility for further study could be a survey of libraries' policies regarding self-published books, or of their procedures for submitting books—and whether these procedures are easy for authors to find. For example, Landgraf (2015) describes how Toronto Public Library (TPL) "formalized its procedures for considering self-published books." The article quotes Kathryn McClurg, collections librarian at TPL, as saying, "Before, many authors thought that they could come in and talk to us for an hour about their books, or that we would buy the book on the spot." The library began

"providing information about how the library considers and acquires books," and since then, "most authors follow the library's instructions, making the process much more efficient" (Landgraf, 2015).

In my interview with her, Tracy Babaisz, of Chapel Hill Public Library, spoke in general about the importance of establishing a collection policy in regard to self-published books, particularly in the face of an overwhelming amount of material:

> There are an awful lot of people writing books these days and self-publishing them. … There's so much more information out there now to record than there ever used to be.
>
> What it made me think of is the importance of having that acquisition policy or development policy from the start so that you don't bring in things that you can't sustain and maintain and keep up with. That you have a limited scope that you have defined. This is what I can do. This is what I can keep. If it falls out of [my policy], it's somebody else's to do. (personal communication, February 22, 2017)

IX. Conclusions

I began this paper with four research questions about the preservation of self-published books. But it's what I learned beyond those questions that gives me the most food for thought—that leaves me with respect for everyone who is navigating the waters of publishing today.

First, my research questions:

1. How are books preserved when they are not published by traditional means?

2. How are preservation challenges the same as—and different from—those of traditionally published books?

3. What methods and practices do authors who self-publish use to archive their own work?

4. Do local libraries or other repositories have an interest in collecting self-published work?

The answers to these questions are all intertwined.

Some of the answers are rather expected; they are the ones I specifically explored in my survey and literature review. Self-published books are preserved in the digital files that were uploaded to wherever the book was printed. The books are archived by authors themselves in a variety of ways: saved on their computers, printed out, saved in the cloud, emailed to themselves and shared with co-authors. While large publishers like the "Big Five" have a staff of people to handle editorial, production, marketing, copyright, and other legal issues, indie authors and many other small publishers are handling (and learning) the business for themselves. Libraries definitely have an interest in collecting self-published books. Whether those books are headed for preservation depends on whether the library in question primarily aims to circulate its collection (as with a public library), or whether it is more of a special collections repository.

Above, I mentioned marketing in the list of the tasks authors and publishers have to tackle. Generating publicity for one's books is a huge part of being an author, however the book is published, but it is not an aspect I originally set out to explore in this paper. I didn't really think of it as having to do with preservation. In fact, *publicity equals preservation* became one of my main findings.

No, it's not a groundbreaking revelation. Of course people have to know about your book before they can buy it, or before they can seek it for their collection. Even the Library of Congress has to know your self-published book exists before it will send you a deposit notice or consider adding it to its catalog and collection. (See Appendix A. The procedure differs a bit for traditional publishers.) Along with considering books from authors who approach them about their titles, librarians and archivists are actively seeking books that may fit into their collections. The two librarians I surveyed, Tracy Babaisz, of Chapel Hill Public

Library; and John Blythe, of the North Carolina Collection at UNC-Chapel Hill, discussed how they found out about new self-published books they might wish to add to their libraries. Many of the sources they named—from reading reviews in local papers to scanning local bookstore calendars—were also mentioned by the authors I interviewed in their discussion of how they generated publicity for their books. Part of publicity, too, is having a personal connection to readers or to the region where the library or archives is located (as, for example, with Maryrose and the University of Chicago).

Publishing: a difficult world to navigate

It seems simple to boil things down to a formula—*publicity equals preservation*—but navigating the world of publishing is anything but simple. Early in this paper, I briefly mentioned a study called "What is the history of books?" (1982), in which Peter Darnton, a scholar focusing on 18th-century France, provided a model to trace how books got from author to reader, with all the steps in between. Now that I am at the end of this jaunt through the self-publishing world, Darnton's study comes to mind again.

In his paper, Darnton talks about the development of a field of study called "the history of the book." The distinct field "arose from the convergence of several disciplines on a common set of problems, all of them having to do with the process of communication" (Darnton, 1982). The field took in "historians, literary scholars, sociologists, librarians, and anyone else who wanted to understand the book as a force in history."

While he admitted that it is "vain to expect the biography of every book to conform to the same pattern," Darnton said said that "printed books generally pass through roughly the same life cycle. It could be described as a communications circuit that runs from the author

to the publisher (if the bookseller does not assume that role), the printer, the shipper, the bookseller, and the reader" (1982).

Publishing has changed a lot since Darnton proposed this model. The communications circuit idea still has value, but it cannot be broken down into six clear roles, especially not in regard to self-published books. Even so, Darnton's study still resonated with me—particularly this sentence, in which Darnton described the "history of the book" discipline: "In the brief span of two decades, the history of books had become a rich and varied field of study. So rich did it prove, in fact, that it now looks less like a field than a tropical rain forest. The explorer can hardly make his way across it" (Darnton, 1982).

I felt the same way as I was trying to explore the history and reality of self-publishing. In my interview with Marie, she came up with another metaphor for this vast, complex landscape of what happens to the books we make. She called it a "great ocean."

Marie described the reasons she set out to write her book about the military incident at Ribbon Creek, a book that is "very heavily researched. I spent four years on it. I had the trial transcripts, I had my Dad's diaries. … It's [over 200] pages and it's got over 300 footnotes." Once, she read an account of the Ribbon Creek incident in a major newspaper that she said contained inaccurate information about the staff sergeant, her uncle, who had been on trial.

> All the sudden I get it in my noggin that, you know, hey: I'm a lawyer, I know how to write about cases. I can do this. And I did it! What's going to happen to it? It's really like this labor of love, more or less. My parents had died, and I guess I'm sort of in some ways keeping them alive by writing this book of something they were very deeply involved in when they were both young. So I write it, I publish it, and you're faced with this abyss of—oh—diving into the great ocean and getting lost. (personal communication, April 11, 2017)

Navigating the waters together

Now that the publishing formula has changed so drastically, now that the book market is so flooded with options, the "Big Five" face an uncertain future:

> Now that we are down to the Big Five—Hachette, HarperCollins, Macmillan, Penguin Random House, and Simon & Schuster—will we see the U.S. market boil down to a Big One within a decade, as consultant Mike Shatzkin predicted at this year's Publishers Launch conference in June? Will consolidation bring homogenization and dampen risk-taking, as others have speculated, echoing a charge levied against big publishers for years?
>
> "I don't think it's dire," says Lorraine Shanley, president of Market Partners International, a consulting firm that specializes in traditional and digital publishing in the United States and internationally. "Publishers are all rowing in the same direction on this one, in reaction to Amazon." (Ciabattari, 2013)

Could this upheaval actually help to create new opportunities for connections between the many players in today's world of book production?

When I contacted her for an interview, Wanda shared with me the (2016) mission statement from the Indie Authors of NE Columbia, a group she helped to found. I was particularly struck with three of the group's objectives:

- Seek out and share information about independent publishing that will benefit other members.
- Respect the expertise of editors, designers, booksellers, and all publishing and marketing partners.
- Build relationships with libraries and their staffs.

These points, as well as the group's other objectives (Appendix B), are all about helping each other, treating each other with respect, and building relationships between writers and others who are involved in getting their books out into the world, thus gaining new recognition for indie authors in the process. Marie expressed a similar wish: "There is this terrible storm and transition going on in the publishing world," she said, "and I think rather than publishers, say, fighting Amazon, or authors fighting each other … it would be nice if there was more recognition."

Ultimately, everyone has something to offer. Large publishing corporations have a lot of history and expertise in the business. Indie authors have unique voices, varied skill sets, and know what it is like to bring a book from idea to creation. Self-publishing platforms can allow even more people to take part in the creation process: Lulu, for example, has an initiative called "Lulu Junior" geared toward allowing children to publish their own books (Glenn@Lulu, 2016). Perhaps together, they can help guide each other in the process of making sure we keep an enduring record of our times, our culture and ideas. Because no matter how many other things change, people will always want to tell stories.

X. Notes

Introduction

1. As of March 2017, the Big Five book publishers in the United States are Hachette, Penguin Random House, Macmillan, HarperCollins, and Simon & Schuster. Penguin and Random House merged on July 1, 2013 (Ciabattari, 2013).

Definitions

2. I should mention the role zines play in the history of self-publishing. Duncombe (1997) calls them "noncommercial, nonprofessional, small-circulation magazines which their creators produce, publish, and distribute by themselves," and says they were "shaped by the history of alternative presses in the United States. Zines were born in the 1930s as a way for science-fiction fans to share stories, and also emerged as a force in 1970s punk culture. In the 1990s, "the decline in the cost of personal computers and the spread of desktop publishing capability" allowed more people to create professional-quality zines as opposed to the handmade, cut-and-paste versions that existed before (Duncombe, 1997). Much of the fiction that had previously been in zines spilled over into Internet fan-fiction forums, which hold their own preservation challenges (Kem, 2005), as when work disappears because the individual in charge of keeping it abandons the site, or quits archiving. This does have implications for the preservation of how certain books came to be. The bestseller *Fifty Shades of Grey* started out as Twilight fan-fiction published on a fansite, and was later published with The Writers' Coffeehouse, a POD company based in Australia, in 2011; then the rights were picked up by Random House's Vintage Books. Its earlier incarnations have vanished (Kirschenbaum & Werner, 2014).

3. Chinese and Korean woodblock printing developed as early as the seventh century. Gutenberg did not invent moveable type: The 1377 Korean printing of *Chickji: Anthology of Great Buddhist Priests' Zen Teachings* has been "certified by UNESCO as the world's oldest extant publication printed with movable metal type" (Park, 2014). There are records of other works being printed with moveable type even earlier than that in Korea.

Literature Review

4. The 1472 Milan publishing company consisted of a "priest, a schoolmaster, a professor, a lawyer, a doctor, and a printer" (Steinberg & Moran, 1974).

5. Hogarth Press brought out several of Woolf's own works and those of other authors. Twain also published other works with his publishing house, Charles L. Webster and Company, including the memoirs of Ulysses S. Grant. Along with these, he published his own work, such as *The Adventures of Huckleberry Finn,* in the attempt to realize "a greater proportion of the profits" (Macomber, 2006). Unfortunately, Charles L. Webster and Company failed, and Twain had to declare bankruptcy in 1895.

6. According to Glenn@Lulu's September 8, 2016, blog post, these remarks came from a follow-up interview after the Book Manufacturers' Institute (BMI) Management Conference in Wild Dunes, South Carolina, in April 2016. The interview appeared in ShelfLife, the Book Manufacturers' Institute newsletter (Vol. 11, Issue 2).

7. According to current Lulu CEO Nigel Lee, "Given the inherent costs of publishing, traditionally publishers would then take the lion's share of all profits generated by a title. Lulu.com reversed this model entirely. Lulu.com accepts all titles, within the boundaries of the law. The author retains all ownership and control and keeps up to 90% of all profits" (Glenn@Lulu, 2016).

8. This information is related in a blog post recounting a presentation on the state of the U.S. Book Market given by Jonathan Stolper, of Nielsen, at the 2015 Frankfurt Book Fair.

9. The top five English-language ebook markets (that is, the ones with the highest sales) in February 2017 were, according to this report, the United States, the United Kingdom, Canada, Australia, and New Zealand (Howey & Data Guy, 2017).

10. Other than books, there are many, many different types of items that might need to be deposited—from "mask works" (see Chapter 1200, Section 1210.2 C) to "vessel designs" (see Chapter 1300, Section 1313).

11. Other articles in the "flurry" of coverage from February included those from *Business Insider* (Smith, 2015); *PC Magazine* (Mlot, 2015); and National Public Radio (Neuman, 2015).

Author interviews

12. This might refer to the Kindle Owners Lending Library, a "collection of books that Amazon Prime members who own a Kindle can choose one book from each month with no due dates" (Kindle Direct Publishing website). There is also a program called Free Book Promotion, "where readers worldwide can get your book free for a limited time." These features that come with enrollment in a program called KDP Select.

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Appendix A: Cataloging, CIP Data, and Library of Congress Control Numbers

Yet another concern for self-published writers is getting a Library of Congress Control Number (LCCN) in order to make it possible for their books to be cataloged and accepted into the Library of Congress collection.

The LCCN is "a unique identifier" that is "issued by the Library of Congress (LOC) to books that get included in their collection. … There is only one LCCN per book, whereas each edition of a book requires a new ISBN" (Crayton, 2016).

Publishers have to apply for the LCCN before the book is published. There are two different Library of Congress programs that issue the numbers: the Cataloging-In-Publication (CIP) Program and the Preassigned Control Number (PCN) Program. "The CIP Program is open to big publishers who are pre-approved to submit books to the LOC," and "almost all" CIP books are accepted into the Library's collection. "The PCN program is open to self-publishers and small presses. … PCN books must be sent to the LOC staff, who review them and determine if the LOC will accept them into the collection" (Crayton, 2016). Ebooks and some other publications (such as below-college-level textbooks, or certain types of publications under 50 pages) are not eligible to receive a LCCN (Crayton, 2016; Library of Congress website; CreateSpace website).

If the books are selected, they are then cataloged; but if they are not chosen, they go "to the surplus book program. The bibliographic record is maintained, but suppressed"—meaning that it is searchable in the Library's internal system, but "it won't show up in the catalog available to librarians nationwide" (Crayton, 2016).

To gain some background, I interviewed Caroline Keizer, Special Collections and Humanities Cataloger, who catalogs books for the Libraries, including the North Carolina Collection, at UNC-Chapel Hill. She said that when she catalogs new additions to their

collections, "I look at the book as a whole, and I'm starting fresh every time" (personal communication, March 9, 2017). Keizer said that she uses existing catalog records for the books, but often has to expand upon them when they are coded wrong, are missing information, or have no authority work behind them—"basically you have to take this baby record and create something," she said.

Keizer showed me a few examples of records she had to fix, including one for a book from the self-publishing company Xlibris. "Baker and Taylor or Yankee Book Peddler are very often working on these self-published books to create cataloging," she said.

CreateSpace and some other print-on-demand publishers offer services that help with the LCCN acquisition process. CreateSpace charges $25 for its "LCCN Assignment service," in which CreateSpace will send an application to the Library of Congress and "will submit one copy of your book to the Library of Congress to be considered for cataloging" (CreateSpace website).

According to Crayton (2016), "Caroline Saccucci, Dewey Section Head and Program Manager and Acting CIP Program Manager … noted that odds are better than 50-50 for self-published books being taken into the LOC collection." Saccucci also said the Library of Congress collects a whole range of materials "for scope: local history, genealogical stuff, stuff that small presses would produce." Crayton notes that "the LOC is the nation's library, tasked with preserving an account of the nation, and they take that part of the job seriously," and quotes Saccucci again: "We have two selection officers that go through and decide what we can keep. They try to think holistically in every subject area" (2016).

The Library of Congress website explains that there is "no relationship between the PCN program and Copyright registration."

Appendix B: Mission Statement: Indie Authors of NE Columbia

Mission Statement
Indie Authors of NE Columbia

The Indie Authors of NE Columbia's mission is ***to support other like-minded authors and not-yet- published writers in achieving their writing goals***. We also seek ***to elevate the status of independently published authors*** by building relationships within the community to encourage libraries, book festivals/fairs, and others to recognize and include independently published authors in their events, publications, and offerings.

To carry out our mission, we will:

- Uphold the reputation of independently published authors everywhere by conducting ourselves in a professional manner at all times.
- Treat each other with dignity and respect.
- Encourage and support other members in achieving their goals.
- Present ideas in a manner that builds understanding.
- Seek out and share information about independent publishing that will benefit other members.
- Engage in continuous self-improvement through training, education, self-study, mentoring, support, and coaching.
- Respect the expertise of editors, designers, booksellers, and all publishing and marketing partners.
- Build relationships with libraries and their staffs.
- Aim to create the highest quality publications possible.
- Avoid any plagiarism or libel in our publications.
- Credit all sources of information and obtain permissions to use materials, when necessary.
- Market our publications with the highest ethical standards, avoiding spam mail or any other intrusive tactics. All members of the Indie Authors of NE Columbia are expected to abide by these guiding principles, recognizing that we are all human and slip from time to time. Intentional and repeated disregard for these principles may be grounds for dismissal from the group.

v. 2/25/16

Appendix C: Survey Questions, Consent Forms, Recruitment Emails

Survey of Self-Published Writers

Q1 How many self-published books have you authored?

Q2 What self-publishing platform did you use for your most recent book? (Choose all that apply)
- ❑ Amazon.com (1)
- ❑ Lightning Source (2)
- ❑ Lulu (3)
- ❑ Other (4) _____

Q3 Did you publish your work as an
- ❍ Ebook (1)
- ❍ Print book (2)
- ❍ Both (3)
- ❍ Other (Please specify) (4) _____

Q4 Was your work registered for federal copyright with the U.S. Copyright Office?
- ❍ Y (1)
- ❍ N (2)
- ❍ Not sure (3)

Q5 Where are all the places your book's final digital files are currently stored? (Choose all that apply)
- ❑ Personal computer hard drive (1)
- ❑ Emailed to self (2)
- ❑ Cloud storage (3)
- ❑ USB/external hard drive (4)
- ❑ Uploaded to printing company or self-publishing platform software (5)
- ❑ Other (Please specify) (6) _____

Q6 When you finish a writing project, do you save a printout of your final manuscript?
- ❍ Y (1)
- ❍ N (2)
- ❍ Sometimes (3)

Q7 When you are working on a writing project, do you save printouts of your manuscripts-in-progress (i.e. early drafts)?
- ❍ Y (1)
- ❍ N (2)
- ❍ Sometimes (3)

Q8 Have you ever lost the files of a book you were writing?
- ❍ Y (1)
- ❍ N (2)

Display This Question:
If "Have you ever lost the files of a book you were writing? – Y" Is Selected

Q9 Were you able to recover the files?
- ❍ Y (1)
- ❍ N (2)

Display This Question:
If "Have you ever lost the files of a book you were writing? – Y" Is Selected

Q10 Please explain what happened.

Q11 Have you ever tried to get your book into a library's collection in the hopes it can be preserved for posterity?
- ❍ Y (1)
- ❍ N (2)

Q12 How big a concern is each of the following for you as a self-published writer?

	No concern at all (1)	Minor concern (2)	Moderate concern (3)	Major concern (4)
Making money from my book (1)	❍	❍	❍	❍
Promoting/advertising my book (2)	❍	❍	❍	❍
Getting my book picked up by a traditional publisher (3)	❍	❍	❍	❍
Ensuring that my book's digital files are preserved and maintained (4)	❍	❍	❍	❍
Having my book in a library collection (5)	❍	❍	❍	❍

Q13 At what age did you begin to think of yourself as a writer?

Q14 What is your current age?

Q15 What is your employment status? (Choose all that apply)
- ❑ Work full-time (1)
- ❑ Work part-time (2)
- ❑ Self-employed (3)
- ❑ Not working/retired (4)

Q16 Would you be willing to participate in a short interview after the conclusion of this survey to discuss your responses to the survey questions in more detail?
- ❍ Y (1)
- ❍ N (2)

Display This Question:
If “Would you be willing to participate in a short interview after the conclusion of this survey to discuss your responses to the survey questions in more detail? – Y” Is Selected

Q17 Please click the "next" button to be directed to another page where you can provide your email address so that we are able to follow up with you. Your email address will not be linked to your survey responses.

Consent forms

University of North Carolina at Chapel Hill
Consent to Participate in a Research Study
Adult Participants: Group 1: Self-Published Authors
Consent Form Version Date: [interview date]
IRB Study #16-3430
Title of Study: Self-published books: Will they be preserved, or lost to the mists of time?
Principal Investigator: Erin Ryan
Principal Investigator Department: School of Information and Library Science
Principal Investigator Phone number: [redacted]
Principal Investigator Email Address: erinryan@live.unc.edu

What are some general things you should know about research studies?
You are being asked to take part in a research study. You may choose not to participate, or you may withdraw your consent to be in the study, for any reason, without penalty.

What is the purpose of this research study?
This is a master's paper to fulfill graduation requirements toward an M.S. in Library Science at the School of Information and Library Science at UNC-Chapel Hill. The purpose of this project is to explore how writers of self-published books may archive their work. It is meant to be an exploratory study using qualitative methods. The project includes interviews with self-published authors who agreed to be interviewed about their responses to the survey that was sent out in conjunction with this study.

How long will your part in this study last?
Your involvement in the project will entail this interview today, which is anticipated to take about 20 minutes. You may receive a few follow-up questions by email, if necessary for clarification about something that was discussed. You are welcome to see the final results of the study when it is completed. The final master's paper will be placed in the School of Information and Library Science library at UNC-Chapel Hill, and will be accessible online through the Carolina Digital Repository.

What will happen if you take part in the study?
You will be asked if you agree to have the interview audio recorded, to ensure that your responses are taken down accurately. Any audio recordings will be transcribed by the principal investigator. Audio files and transcriptions will be stored on UNC OneDrive, which is protected with the principal investigator's password and meets the security requirements prescribed for this study by the School of Information and Library Science. As soon as the paper is written and turned in (expected spring 2017), the recordings will be deleted. Your identity will remain anonymous in this paper, unless you choose to be identified. Your interview responses may be quoted directly in the study. You may choose not to answer a question during the interview for any reason.

What if you have questions about this study?
This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. If you have questions or concerns about your rights as a research subject, you may contact the IRB at 919-966-3113 or by email to IRB_subjects@unc.edu.

Participant's Agreement:
I have read the information provided above. I have asked all the questions I have at this time. I voluntarily agree to participate in this research study.

_____ _____
Signature of Research Participant Date

_____
Printed Name of Research Participant

_____ _____
Signature of Research Team Member Obtaining Consent Date

_____
Printed Name of Research Team Member Obtaining Consent

University of North Carolina at Chapel Hill
Consent to Participate in a Research Study
Adult Participants: Group 2: Librarians and Publishers
Consent Form Version Date: [interview date]
IRB Study #16-3430
Title of Study: Self-published books: Will they be preserved, or lost to the mists of time?
Principal Investigator: Erin Ryan
Principal Investigator Department: School of Information and Library Science
Principal Investigator Phone number: [redacted]
Principal Investigator Email Address: erinryan@live.unc.edu

What are some general things you should know about research studies?
You are being asked to take part in a research study. You may choose not to participate, or you may withdraw your consent to be in the study, for any reason, without penalty.

What is the purpose of this research study?
This is a master's paper to fulfill graduation requirements toward an M.S. in Library Science at the School of Information and Library Science at UNC-Chapel Hill. The purpose of this project is to explore how writers of self-published books may archive their work. It is meant to be an exploratory study using qualitative methods. The project includes interviews with librarians about their repository's practice of accepting (or not accepting) self-published books into their collections, and interviews with publishers about their practices regarding the electronic files of the works they publish.

How long will your part in this study last?
Your involvement in the project will entail this interview today, which is anticipated to take about 30 minutes. You may receive a few follow-up questions by email, if necessary for clarification about something that was discussed. You are welcome to see the final results of the study when it is completed.

What will happen if you take part in the study?
You will be asked if you agree to have the interview audio recorded, to ensure that your responses are taken down accurately. Any audio recordings will be transcribed by the principal investigator. Audio files and transcriptions will be stored on UNC OneDrive, which is protected with the principal investigator's password and meets the security requirements prescribed for this study by the School of Information and Library Science. As soon as the paper is written and turned in (expected spring 2017), the recordings will be deleted. You will be identified in the research study by name/title and position and your interview responses may be quoted directly in the study. You may choose not to answer a question during the interview for any reason.

What if you have questions about this study?
This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. If you have questions or concerns about your rights as a research subject, you may contact the IRB at 919-966-3113 or by email to IRB_subjects@unc.edu.

Participant's Agreement:
I have read the information provided above. I have asked all the questions I have at this time. I voluntarily agree to participate in this research study.

_____ _____
Signature of Research Participant Date

_____
Printed Name of Research Participant

_____ _____
Signature of Research Team Member Obtaining Consent Date

_____
Printed Name of Research Team Member Obtaining Consent

Email correspondence

1. Recruitment text sent to Ed Southern, Director of the NC Writers' Network, and some other correspondence.

Hello!

Are you 18 or over? Have you self-published a book? I'm reaching out to ask if you'd like to participate in a survey to inform my research study into self-published books and how they are preserved for posterity. What happens to our masterpieces in the long-term?

This research is for my master's paper at UNC-Chapel Hill, where I'm a second-year graduate student in library science and archives/records management. Before starting this graduate program, I was a member of the Charlotte Writers' Club and also self-published two books of my own.

The anonymous survey will only take about 5 minutes of your time. To access it, please click this link: https://unc.az1.qualtrics.com/SE/?SID=SV_1EXYoRnonx3PPiB — or, if the survey does not open automatically, copy and paste the URL into your browser.

The survey will close on March 30, 2017, at 11:59 pm.

(Note: By clicking on the link to the survey above, you are consenting to participate in this study. Please remember you may leave the survey at any time. I will not count responses from anyone under 18, or from anyone who has *not* self-published a book.

At the end of the survey, there will be an option to participate in a short interview to discuss your responses to the survey questions in more detail. If you choose to volunteer, you will be taken to a new page that will allow you to enter an email address so that I may contact you. Not all participants who choose this option will be contacted. The emails will not be linked to the survey responses, which remain anonymous.

This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. If you have questions or concerns about your rights as a research subject, you may contact the IRB at 919-966-3113 or by email to IRB_subjects@unc.edu.)

Thank you for considering this! If you have any questions about this study, please contact me at the email address listed below. I hope you'll decide to fill it out and that you'll find it interesting. If you'd like to see the final paper resulting from this study, please contact me and I'll be glad to share it with you.

Best,

Erin Ryan
MSLS/Archives and Records Management Candidate 2017
UNC-Chapel Hill, School of Information and Library Science
erinryan@live.unc.edu

Thanks for getting in touch, Erin. We'd be glad to help. If you'd like, we can share the link to your survey through one of our platforms, probably our blog and/or social media. We have a good many self- or indie-published authors in our audience.

Just let me know whether or not we can post your link and recruitment text online. If we can, we'll do so next week.

Yours,

Ed Southern

Thank you so much, Ed. Yes, you can post the recruitment text and the survey link--that would be wonderful! I really appreciate it!

Best,
Erin

Erin Ryan
MSLS/Archives and Records Management Candidate 2017
UNC-Chapel Hill, School of Information and Library Science

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2. Sample librarian interview request email

Dear [X],

I'm a graduate student in library science/archives and records management at UNC-Chapel Hill. I'm working on my master's paper (which is about the preservation of self-published books). Part of this paper touches on repositories that do (or do not) accept self-published books into their collections. For background to my paper, I was wondering if it would be possible to do a quick interview with someone at the [Library] about whether you have any collection policies that deal specifically with acquiring (or rejecting) self-published books.

If you are able to participate in an interview, and you would be willing to allow me to quote you for this paper, I'd be happy to give you a call or even come to meet with you in person.

(This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. If you have questions or concerns about your rights as a research subject, you may contact the IRB at 919-966-3113 or by email to IRB_subjects@unc.edu.)

Best,

Erin

Erin Ryan
MSLS/Archives and Records Management Candidate 2017
UNC-Chapel Hill, School of Information and Library Science

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3. Sample publisher interview request email

Dear [X],

I'm a graduate student in library science/archives and records management at UNC-Chapel Hill. I'm working on my final master's paper (which is about the preservation of self-published books). Part of this paper touches on the procedures publishers go through to handle the mandatory deposit requirements for

the books that they publish, and what their responsibility is for maintaining the digital files of the books that they publish. For background to my paper, I was wondering if it would be possible to do a quick interview with you or someone at [Press] about your policies in this regard.

If you are able to participate in an interview, and you would be willing to allow me to quote you for this paper, I'd be happy to give you a call or even meet with you in person if possible.

(This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. If you have questions or concerns about your rights as a research subject, you may contact the IRB at 919-966-3113 or by email to IRB_subjects@unc.edu.)

Best,

Erin

Erin Ryan
MSLS/Archives and Records Management Candidate 2017
UNC-Chapel Hill, School of Information and Library Science

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4. Sample email to authors who took the survey and agreed to be contacted for a follow-up interview

Hello,

Thanks so much for taking my survey in March about self-published writers and preservation practices (toward my master's paper at UNC-Chapel Hill). Now that the survey has closed and I've had a chance to look at the data, I'm contacting a random selection of people who indicated that they were willing to participate in a follow-up interview about their survey responses. (I don't know what your actual responses were, since the survey was anonymous.)

If you would still be willing to participate in an interview, please let me know. I'd be happy to give you a call. I would also be happy to answer any further questions about this study that you might have. Material from these interviews may go into the final graduate paper, though your responses would still remain anonymous unless you choose otherwise. The interview will take about 20 minutes.

Thanks again for your help. I really appreciate it.

(This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. If you have questions or concerns about your rights as a research subject, you may contact the IRB at 919-966-3113 or by email to IRB_subjects@unc.edu.)

Erin

Erin Ryan
MSLS/Archives and Records Management Candidate 2017
UNC-Chapel Hill, School of Information and Library Science

5. Writers' group newsletters

a. Group 1: teaser

EXPLORE THESE OPPORTUNITIES

Open for Entries: January 1-April 15

Deadline: April 15, 2017
Entry Fee: $15
Award: $1,000 plus publication in *Prime Number Magazine*
Winner Announced: No later than July 1, 2017
Finalists: A list of nine finalists will be listed in *Prime Number Magazine* (*Prime Number Magazine* is a Press 53 publication)

Final Judges:
Poetry: Rebecca Foust, author of *Paradise Drive*, winner of the 2015 Press 53 Award for Poetry
Short Fiction: David Jauss, author of *Glossolalia: New & Selected Stories*

Seeking Participants for Research Study

Are you 18 or over? Are you a self-published writer? Library sciences graduate student Erin Ryan is seeking participants for an online, anonymous survey to inform her research study into self-published books and how they are preserved for posterity. This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. Complete information and the link to participate is located at the end of this newsletter.

b. Group 1: full newsletter text

RESEARCH STUDY SURVEY

UNC GRAD STUDENT ERIN RYAN'S RESEARCH STUDY SURVEY

Are you 18 or over? Are you a self-published writer? I'm reaching out to ask if you'd like to participate in a survey to inform my research study into self-published books and how they are preserved for posterity. What happens to our masterpieces in the long-term, after the print runs have stopped? (Although of course we hope they never do!)

This research is for my master's paper at UNC-Chapel Hill, where I'm a second-year graduate student in library science and archives/records management. Before starting this graduate program, I was a member of the [redacted] and was the [redacted] for several years. I've also self-published two books of my own.

The anonymous survey will only take about 5 minutes of your time. To access it, please click this link: https://unc.az1.qualtrics.com/SE/?SID=SV_1EXYoRnonx3PPiB — or, if the survey does not open automatically, copy and paste the URL into your browser.

The survey will close on March 17, 2017, at 11:59 pm.

(Note: By clicking on the link to the survey above, you are consenting to participate in this study. Please remember you may leave the survey at any time. I will not count responses from anyone under 18, or from anyone who is *not* a self-published writer.

At the end of the survey, there will be an option to volunteer to participate in a short interview to discuss your responses to the survey questions in more detail. If you choose to volunteer, you will be taken to a new page that will allow you to enter an email address so that we may contact you. You do not have to choose this option. Not all participants who choose this option will be contacted. The emails will not be linked to the survey responses, which remain anonymous.

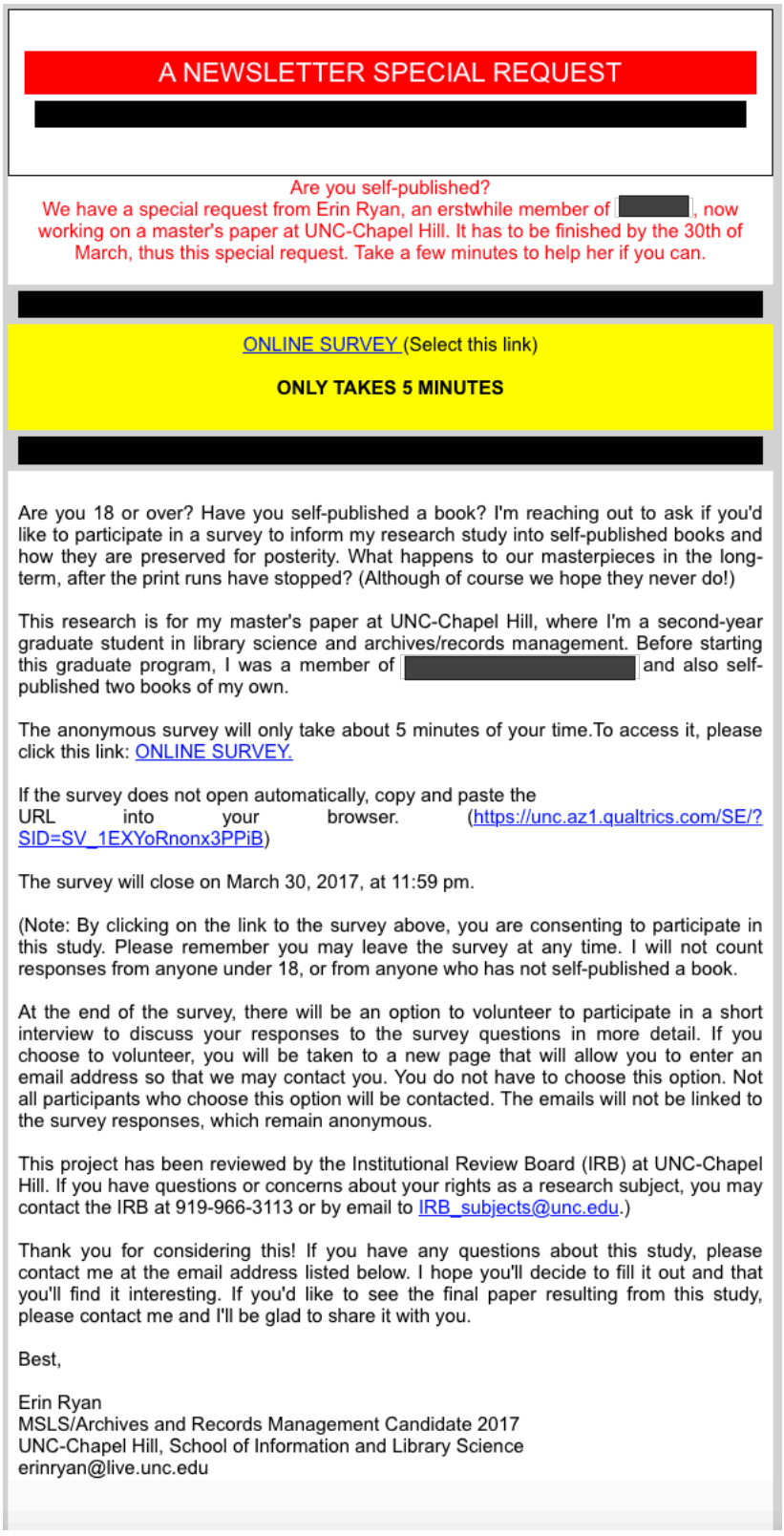
This project has been reviewed by the Institutional Review Board (IRB) at UNC-Chapel Hill. If you have questions or concerns about your rights as a research subject, you may contact the IRB at 919-966-3113 or by email to IRB_subjects@unc.edu.)

Thank you for considering this! If you have any questions about this study, please contact me at the email address listed below. I hope you'll decide to fill it out and that you'll find it interesting. If you'd like to see the final paper resulting from this study, please contact me and I'll be glad to share it with you.

Best,

Erin Ryan
MSLS/Archives and Records Management Candidate 2017
UNC-Chapel Hill, School of Information and Library Science
erinryan@live.unc.edu

c. Group 2 newsletter



A NEWSLETTER SPECIAL REQUEST

[redacted]

Are you self-published?
We have a special request from Erin Ryan, an erstwhile member of [redacted], now working on a master's paper at UNC-Chapel Hill. It has to be finished by the 30th of March, thus this special request. Take a few minutes to help her if you can.

[redacted]

ONLINE SURVEY (Select this link)

ONLY TAKES 5 MINUTES

[redacted]

Are you 18 or over? Have you self-published a book? I'm reaching out to ask if you'd like to participate in a survey to inform my research study into self-published books and how they are preserved for posterity. What happens to our masterpieces in the long-term, after the print runs have stopped? (Although of course we hope they never do!)

This research is for my master's paper at UNC-Chapel Hill, where I'm a second-year graduate student in library science and archives/records management. Before starting this graduate program, I was a member of [redacted] and also self-published two books of my own.

The anonymous survey will only take about 5 minutes of your time.To access it, please click this link: ONLINE SURVEY.

If the survey does not open automatically, copy and paste the URL into your browser. (https://unc.az1.qualtrics.com/SE/?SID=SV_1EXYoRnonx3PPiB)

The survey will close on March 30, 2017, at 11:59 pm.

(Note: By clicking on the link to the survey above, you are consenting to participate in this study. Please remember you may leave the survey at any time. I will not count responses from anyone under 18, or from anyone who has not self-published a book.

At the end of the survey, there will be an option to volunteer to participate in a short interview to discuss your responses to the survey questions in more detail. If you choose to volunteer, you will be taken to a new page that will allow you to enter an email address so that we may contact you. You do not have to choose this option. Not all participants who choose this option will be contacted. The emails will not be linked to the survey responses, which remain anonymous.

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Best,

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